

DUKE STAFF HANDBOOK



“By working at Duke, we gain the opportunity and the responsibility to make a real difference in the world.”

Richard H. Brodhead
President

>Welcome

WELCOME TO DUKE

Welcome to Duke. In joining the Duke community, you become an important part of a premiere organization dedicated to excellence in education, research, and patient care. By working at Duke, we gain the opportunity and the responsibility to make a real difference in the world. Our continued success depends on your contributions and your service to our patients and students, to each other, and to the community around us.

This handbook is designed to provide an overview of the Human Resources policies and procedures at Duke and the many resources and opportunities that are available to you. These pages should assist you in understanding what Duke expects from you as a staff member and what you should expect from Duke. For questions not answered here, please refer to the Duke Human Resources Policy Manual located online (www.hr.duke.edu/policies) and speak with your supervisor.

Regardless of whether you are newly employed or have years of service with Duke, you should take time to familiarize yourself with this handbook. It is intended to help you establish a successful working relationship as a member of the Duke community.

Duke's reputation for excellence in education, research and patient care was forged by the many people who came before us, the people who invested their careers here in service to others. By joining Duke, you have become a part of a legacy of great achievement and even greater potential. Let's work together to realize the promise of this great place.



Richard H. Brodhead
President

TABLE OF CONTENTS

Welcome to Duke	1
About the Duke Staff Handbook	4
Overview of Duke	5
New Staff	
Developing Staff and Supervisor Relationships	6
New Staff Orientation Process and Evaluation Period	6
Workplace Attire	6
Duke Identification Badge	6
Duke NetID	6
Duke@Work	6
Direct Deposit	7
Parking and Transportation	7
Severe Weather and Emergency Conditions	7
Online Safety Training	7
Benefit Opportunities	8
Enrolling and Making Changes	8
Eligibility for Benefits	8
Core Benefits.....	9
Medical Insurance	9
Dental Insurance	9
Vision Insurance	9
Health and Wellness Program	9
Benefits in Retirement.....	9
Retirement Plans	9
Reimbursement Accounts	9
Vacation and Paid Time Off	10
Financial Security Benefits	10
Family-Friendly and Professional Development Benefits	10
Flexible Work Arrangements	10
Personal Assistance Service	10
Child and Elder Care	10
Survivor’s Benefit	11
Educational Assistance	11
Professional Development.....	11
Staff Discounts	11
Duke University Federal Credit Union	11
Floral Arrangements for Funerals and Hospitalizations	11
Benefits Unique to Duke.....	12
Time Away from Duke	13
University:.....	13
Vacation.....	13
Holidays.....	13
Sick Leave	14
Bereavement Leave	14
Duke University Health System:	14
Paid Time Off	14
All Duke Staff.....	15
Availability for Work Guidelines	15
Maintenance of Time-Off Records	15
Kiel Memorial Voluntary Vacation and PTO Donation Program	15
Leave for Parent Involvement in Schools	16
Jury Duty or Subpoenaed Appearance	16
Voting Absences	16
Leaves of Absence.....	16
Pay Administration	17
Job Descriptions	17
Fair Labor Standards Act (FLSA)	17
Hours Worked That are Considered “Paid Time”	17
Meal Periods	17
Breaks	18
University Pay Policies:	18
Merit Increases	18
Merit Increase Guidelines for New Hires	18
Guidelines for Premium Pay	18
Health System Pay Policies:.....	18
Merit Increases	18
Merit Increase Guidelines for New Hires	19
Guidelines for Premium Pay	19

Payroll	20
Biweekly Pay Periods	20
Monthly Pay Periods.....	20
Direct Deposit	20
Lost/Stolen Paycheck and Paycheck Corrections.....	20
Garnishment and Bankruptcy	20
Taxability of Awards and Gifts	21
Definitions of “Work”.....	21
Recording and Reporting Hours Worked	21
Daylight Saving Time versus Eastern Standard Time	21
Workplace Expectations and Guidelines	22
Duke’s Standards of Conduct and Performance	22
Performance and Work-Related Behavior Counseling.....	22
Corrective-Action Protocols	22
Progressive Corrective Action	23
Expectations of Conduct and Performance.....	23
Dispute Resolution Process.....	26
Duke’s Computer, Network, and Communication Systems	27
Confidentiality Agreement	27
Fraud Reporting Hotline	27
DUHS Corporate Compliance Program and Code of Conduct	28
Non-Solicitation Guidelines	28
Arrest and/or Conviction of Staff	28
Criminal Drug Conviction Policy	29
Severe Weather and Emergency Conditions	29
Leaving Duke	29
Exit Survey Process	29
Voluntary Resignations or Retirements	30
Involuntary Terminations	30
Reduction-in-Force	30
Access to Department or Duke Personnel Files	31
Workplace Health and Safety	32
Establishing Wellness Through a Commitment to Health	32
Health and Wellness Programs	32
Personal Assistance Service	32
Smoking Policy	32
Pre-Placement Health Reviews	32
Periodic Health Reviews	32
Disability and Impairment.....	32
Workers’ Compensation	33
Safety and Security	33
Occupational and Environmental Safety	33
Security at Duke	34
Prohibited Weapons Policy	34
Alcohol and Drug Policies	34
Alcohol Use at Duke	34
Pre-Placement Substance Abuse Screening	34
Substance Abuse Policy	34
Staff Development and Career Planning	36
Workshops and Seminars at Duke	36
Career Planning and Advancement Opportunities	37
Internal Job Opportunities	38
Transfers and Promotions	38
Reference Checks	39
Offer of Employment	39
Continuous Service Date.....	39
Eligibility for Rehire.....	40
Duke Temporary Service	40
Nepotism Policy (Hiring of Relatives).....	40
Affirmative Action and Equal Employment Policies	41
Equal Employment Opportunities.....	41
Harassment and Discrimination Prevention	41
Consensual Relationships	41
Americans with Disabilities Act and the Rehabilitation Act	41
Glossary: Handbook Terminology	43
Disclaimer	45
Important Contact Information	46
Acknowledgement of Receipt	47



ABOUT THIS HANDBOOK

The policies, procedures and services described in the Duke Staff Handbook are applicable to those categorized as “regular” staff, regardless of whether they are paid a monthly salary or an hourly wage, except where noted otherwise. This Handbook does not apply to faculty, students, Duke Temporary Service staff, or staff covered by a bargaining agreement. Further information concerning faculty, temporary staff, staff covered by a bargaining agreement, or students can be found through the following resources:

- The “Faculty Handbook” is located on the Duke website at www.provost.duke.edu/policies.
- The Duke Temporary Service website provides a link to the “Temporary Employee Handbook” at www.hr.duke.edu/dts.
- For questions or request for copies of the “Bargaining Unit Agreements,” please call Staff and Labor Relations at 919-684-2808.
- The Division of Student Affairs provides links to undergraduate, graduate, and professional school policies at www.studentaffairs.duke.edu.

You will also find a list of contact information and relevant websites listed after each major section in this handbook. For detailed information regarding Human Resources policies and procedures, please refer to the Duke Human Resources Policy Manual (www.hr.duke.edu/policies).

OVERVIEW OF DUKE

Duke University has been committed to the welfare of North Carolina and its citizens since 1924 when James B. Duke established the university community as part of his project to improve the overall quality of life in the Carolinas. Today, this original commitment remains stronger than ever as the Duke community continues to fulfill its promise to provide scholarships to North Carolina's residents, bring high-quality health care to under-served counties across the region, and fuel the local and state economy.

Since its founding, the university has grown in both size and status and today is comprised of nine schools and colleges: Arts & Sciences and Trinity College; Divinity School; The Fuqua School of Business; The Graduate School; School of Law; Pratt School of Engineering; Nicholas School of the Environment; School of Nursing; and School of Medicine & Allied Health Programs.

Duke University is continuously recognized as one of the country's highest-ranked academic institutions. It's the youngest of the nation's top academic medical programs with one of the country's largest clinical and biomedical research enterprises that works to translate advances in medical knowledge into improved patient care. In 1998, Duke University Health System was founded to offer a full network of health services dedicated to providing outstanding patient care.

The overarching principles that guide our collective efforts include trustworthiness, respect, diversity, learning, and teamwork. These principles – and the appropriate behaviors that define them – are essential aspects of Duke's policies and procedures and reflect the supportive work culture on which Duke prides itself.

NEW STAFF

The following areas require early attention when new staff are beginning their work at Duke.

Developing Staff and Supervisor Relationships:

One of the most critical components of successful performance at Duke is the partnership between staff and supervisors. This partnership provides the underlying structure for successful working relationships. The staff-supervisor relationship relies upon the following set of requirements:

- The communication and understanding of needs and expectations.
- The ability to discuss and resolve questions and problems.
- The sharing of suggestions for improvement of work processes, individual, and team performance, and service to others.

New Staff Orientation Process and Evaluation Period:

When beginning work at Duke, staff have a 90-calendar-day orientation and evaluation period that will begin the first day of regular employment. During this time, the staff member determines if the position meets his or her expectations while that staff member's supervisor decides if the new hire has the knowledge and skills necessary to perform satisfactorily. This period is a time for frequent communication between the supervisor and staff regarding performance expectations. During this 90-day period, staff accrues Paid Time Off (PTO) or vacation, sick leave, and holiday time. However, the staff member is not eligible to use time off until after the 90-day orientation and evaluation period, except on designated holidays or if the severe weather/emergency conditions policy is activated. Additionally, new staff must successfully complete the 90-day orientation and evaluation period before being eligible to use the dispute resolution process.

Workplace Attire:

Workplace attire must be neat, clean, and appropriate to the work being performed in the setting in which work is performed. Supervisors should determine and communicate appropriate workplace attire for their staff; uniforms may be required for certain positions.

Duke Identification Badge (the DukeCard):

The Duke Identification Badge is required for all staff. Staff are expected to carry their badge at all times while on Duke premises. Some jobs and work units require the wearing of the Duke ID badge at all times. Supervisors will communicate this requirement. Additional guidelines for the identification badge include:

- Staff must report a lost or stolen badge to their supervisor immediately.
- The badge is not transferable to another individual under any circumstances.
- All staff must turn in their badge to their supervisor at the end of their employment at Duke.

Duke NetID:

A Duke NetID is a unique alphanumeric identifier assigned to all staff members. The NetID, when used with an individual's NetID password, allows staff to gain access to Duke's many computing resources. When a new staff member receives a DukeCard, he or she will be asked to swipe the badge at a DukeCard Express Station located at the DukeCard Office. The Express Station will prompt the person to enter a password. The NetID will be activated immediately after entering the new password.

Duke@Work:

Duke@Work is a self-service website that offers staff the ability to view and update their personnel information at Duke. The secure site, available at <http://work.duke.edu>, offers flexibility and convenience to view pay statements online, sign up to discontinue paper pay statements, update home and work addresses, set up or change bank accounts for direct deposit, and review benefit selections and retirement plan balances.

Direct Deposit:

Duke strongly encourages all staff to use direct deposit of paychecks because of the many advantages it offers. Direct deposit provides the convenience of having a paycheck electronically deposited into a checking or savings account on payday. In addition to being convenient and saving time, direct deposit is also a more reliable way of receiving pay. Staff can enroll for direct deposit online through the Duke@Work website or by completing the Direct Deposit Authorization Agreement and submitting it with a voided check from their financial institution to Corporate Payroll Services.

Parking and Transportation:

Parking and inter-campus bus transportation are available to all Duke staff. Duke bus transportation is available at no charge to faculty, staff, students and visitors. Fees for parking must be paid for through payroll deduction. Parking and Transportation Services can assist staff in setting this up.

Severe Weather and Emergency Conditions:

All Duke staff perform important services and work, and during extraordinary times of severe weather or emergency conditions, some positions require the on-site presence of staff. To ensure continuous operations during these conditions, all jobs are categorized into one of three service levels (Essential, Reserved and Delayed). During the orientation and evaluation period, supervisors designate a service level for all new staff, review the department's or unit's plan for severe weather and emergency conditions, and explain work expectations based on the assigned service designation for the job.

Online Safety Training:

As part of Duke's commitment to a safe work environment, staff are required to complete online safety training before the end of their 90-day orientation and evaluation period. Access the training information at www.safety.duke.edu/OnlineTraining.

For more information about topics covered in this section, please refer to the following sources:

- **New Staff Orientation**
www.hr.duke.edu/orientation
Phone: 919-684-5600
- **Duke Identification Badge – DukeCard Office**
<http://dukecard.duke.edu>
Phone: 919-684-5800 (university staff)
or 919-684-2273 (health system staff and university staff in academic medical and research units)
- **Direct Deposit – Corporate Payroll Services**
www.hr.duke.edu/selfservice
Phone: 919-684-2642
- **Parking and Transportation Services**
<http://parking.duke.edu>
Phone: 919-684-PARK (7275)
- **Severe Weather and Emergency Conditions**
www.hr.duke.edu/weather
- **Duke NetID**
www.oit.duke.edu/netid-security
Phone: 919-684-2200
- **Safety Training**
www.safety.duke.edu
Phone: 919-684-2794

BENEFIT OPPORTUNITIES

Duke's overall benefit program has long been recognized and valued because of its comprehensiveness and economic value. In addition to an array of core benefits such as medical insurance, paid time off and retirement, Duke also offers a wide range of family-friendly benefits and benefits unique to Duke.

Enrolling and Making Changes in Benefits:

Several of the benefit programs require staff to enroll within a specified period of time or wait to make enrollment changes until the annual open enrollment period (usually in the fall). Enrollment in other benefits may occur throughout the year based upon eligibility.

Newly Eligible: 60 Days

The first opportunity to enroll in benefits is during the first 60 days of eligibility. During this 60-day period, staff should decide on health, dental and vision insurance and whether to enroll in medical or dependent care reimbursement accounts. After 60 days, the next opportunity to enroll or make enrollment changes will be during the annual open enrollment period.

Qualifying Life Events: 30 Days

If staff experience a qualifying life event, they may enroll or make changes to some of their Duke benefits within 30 days of the event. Any change must be consistent with the qualifying event, such as adding a dependent to medical insurance coverage following the birth of a child. Qualifying events include such things as:

- Marriage, divorce, or legal separation,
- Birth or adoption (or placement of adoption) of a child,
- Death of a covered dependent,
- Loss or gain of eligibility for insurance coverage for staff or a covered dependent (loss of student insurance or individual policy does not qualify),
- Change in spouse's employment status,
- Change in medical insurance eligibility due to a relocation of residence or workplace, and
- Change in your child's full-time student status (loss of student insurance or individual policy does not qualify).

If staff experience a qualifying event, they must notify Human Resources at 919-684-5600 or by visiting the Human Resources office at 705 Broad Street and provide documentation within 30 days of the event to update benefit enrollments. Staff will need to present documentation, such as a birth, marriage, or death certificate, or divorce decree.

Eligibility for Benefits:

Most benefit plans have eligibility requirements. Some plans require that staff work at least 30 hours per week in order to be eligible while other plans require at least 20 hours per week. Many benefits also provide coverage for eligible dependents of Duke staff, including same-sex partners. Refer to specific benefit plans available on the Human Resources website or by calling 919-684-5600 for information regarding eligibility.

CORE BENEFITS

Duke offers staff and their family members a strong foundation of core benefits that offer exceptional value, including high-quality medical and dental care plans, vacation/paid time off, retirement plans, and life insurance.

Medical Insurance:

Individual needs vary — that's why Duke offers a choice of medical insurance plans to meet the needs of Duke staff and their family members. Each medical plan covers medical care, pharmacy, and mental health benefits. Premiums are deducted from paychecks on a pre-tax basis, with Duke paying a major portion of the premium for its staff as well as half of the cost for dependents of staff working 30 or more hours per week.

Dental Insurance:

Duke's staff are offered a choice of dental plans depending on the level of dental coverage desired. All dental plans offer preventive, basic, and major services but differ in the ways in which payment occurs for covered services.

Vision Insurance:

Duke offers staff a nationwide vision care plan that provides coverage for prescription lenses and frames, contact lenses (in lieu of eyeglasses), and a complete annual eye exam.

Health and Wellness Program:

LIVE FOR LIFE[®], Duke's health promotion program, offers a variety of wellness opportunities such as health assessments and education, fitness activities and nutrition activities to help eligible staff and family members reach their health and fitness goals.

Benefits in Retirement:

Duke provides an opportunity for eligible staff to continue participation in many benefits when they retire. These benefits may include medical insurance, dental insurance, long term care insurance, and life insurance. Staff may schedule an appointment with a Benefits representative to help them evaluate benefits and complete required paperwork for those benefits in which they are eligible to continue after retirement from Duke. Eligibility for benefits in retirement varies by benefit and eligibility criteria. Visit the Duke Human Resources website for details.

Retirement Plans:

Duke offers two different types of retirement plans:

- **Staff in hourly-paid positions** are eligible for two Duke retirement plans. The first is the Employees' Retirement Plan, which is a pension plan paid for entirely by Duke. The second is the Duke Savings for Retirement Plan, which is a 403(b) plan, funded by voluntary pre-tax deductions by staff.
- **Staff in monthly-salaried positions** are eligible for the Duke Faculty and Staff Retirement Plan. This 403(b) plan is funded by a generous contribution from Duke and by faculty and staff contributions.

Reimbursement Accounts:

Duke offers two types of reimbursement accounts that allow staff to take advantage of tax savings on eligible expenses:

- Health care (for health care expenses not covered by insurance), and
- Dependent care (for reimbursement of day care expenses for eligible dependents).

BENEFIT OPPORTUNITIES (continued)

Both types of reimbursement accounts require staff to estimate the cost of their health and/or dependent care for the upcoming calendar year. By setting aside pre-tax money into the health care and/or dependent care reimbursement accounts, staff may later repay themselves for eligible expenses incurred in the calendar year. Because contributions are deducted from pay before federal income, state income, and Social Security taxes have been withheld, staff can save on taxes.

Vacation and Paid Time Off:

Please refer to the Time Away From Duke section of this handbook (p. 13).

Financial Security Benefits:

Duke offers comprehensive set of flex benefits to allow staff to choose the options that fit their life. These benefits include supplemental life insurance; personal accident, home and auto insurance; short- and long-term disability plan; and long term care insurance.

FAMILY-FRIENDLY & PROFESSIONAL DEVELOPMENT BENEFITS

Duke strives to help staff balance work and family responsibilities as well as achieve personal and professional goals by providing a broad array of support, services and benefits.

Flexible Work Arrangements:

Duke offers formal guidelines to support flexible work arrangements to help staff balance work and personal commitments. Staff interested in flexible work arrangements should discuss their requests with their supervisor. Typical flexible work arrangements include flextime, telecommuting, compressed work schedule, abbreviated work schedule, part-time work schedule, job sharing, and 9-10-month positions.

Personal Assistance Service:

Personal Assistance Service includes a staff of licensed professionals who offer assessments, short-term counseling, and referrals to help resolve a range of personal, work, and family problems. Services are available free of charge to Duke staff and their immediate family members.

Child and Elder Care:

Duke provides assistance and information in helping staff balance work and family responsibilities, parenting and other family concerns.

- **Paid Parental Leave** – provides up to three consecutive weeks of 100% paid parental leave to the eligible parent serving as the primary caregiver following the birth or adoption of a child.
- **Duke Child Care Partnership** – through a partnership with the Child Care Services Association, Duke staff receive priority for vacant spaces at area child care centers.
- **Duke Children's Campus** – on-campus child care facility provided exclusively for children of faculty, staff and students.
- **Lactation Rooms** – several lactation rooms are located in buildings throughout Duke.
- **Duke's Care Connection** – website that assists staff in their search for the most suitable care for their children.
- **Elder Care** – website that includes information and resources available to Duke staff seeking help with elder care.

Survivor's Benefit:

A gratuity will be paid to the spouse, same-sex partner, or estate of a staff member who has completed at least one year of full-time service, who dies while actively employed by Duke. The surviving spouse/partner (or estate) of a deceased full-time staff member will receive a gratuity equal to one month's salary for each full year of continuous full-time service up to the date of death (up to a maximum of six month's salary).

Educational Assistance:

Duke provides the following educational benefits to eligible staff:

- **Tuition Assistance** – provides assistance with tuition for eligible staff taking college classes.
- **Children's Tuition Grant Program** – provides a grant for undergraduate tuition expenses incurred by the children of eligible staff for up to 75 percent of Duke's tuition.

Professional Development:

Staff can earn academic credit through continuing education and/or enhance their work-related skills through various professional development opportunities at Duke.

- **Learning & Organization Development** – provides a variety of resources to support personal and professional development including a wide array of workshops on such topics as management, computer technology, communication and conflict resolution.
- **Professional Development Institute** – dedicated to providing professional development training programs and resources for staff. The Institute offers long-term training programs, confidential appointments to staff interested in seeking new opportunities at Duke, and an extensive on-site and online resource center.
- **Office of Continuing Education** – offers more than 200 non-credit courses and workshops each year. The courses range from the purely academic to the practical for both personal enrichment and career development.

Staff Discounts:

Duke's staff discount program, PERQs, extends discounts on hundreds of products and services offered by participating businesses including stores, hotels, restaurants, theme parks and entertainment providers.

Duke University Federal Credit Union:

Duke University Federal Credit Union is a non-profit financial cooperative that provides members with a full range of quality, convenient financial services such as mortgages, auto loans and credit counseling at competitive rates.

Floral Arrangements for Funerals and Hospitalizations:

Duke provides floral arrangements for the funerals of its staff and the members of their immediate family. Immediate family members include the husbands, wives, children, mothers, fathers, sisters, and brothers of staff. Duke also provides floral arrangements for hospitalized staff. Payment of these floral arrangements occurs through the staff member's department.

BENEFIT OPPORTUNITIES (continued)

BENEFITS UNIQUE TO DUKE

Throughout the year, staff and community members can take advantage of the many cultural and athletic events and unique offerings available at Duke. They can savor performances by top-flight orchestras and opera companies, hear thought-provoking lectures by world leaders, enjoy the beauty of the Sarah P. Duke Gardens and be a part of the roaring crowd at Duke athletic events. Please refer to the following websites for further information about benefits unique to members of the Duke community:

- **The Duke Chapel**
Web: www.chapel.duke.edu
- **The Sarah P. Duke Gardens**
Web: www.hr.duke.edu/dukegardens/
- **American Dance Festival**
Web: www.americandancefestival.org
- **The Duke Forest**
Web: www.nicholas.duke.edu/forest
- **Broadway at Duke**
Web: http://student.groups.duke.edu/Broadway/Live_Entertainment
- **Duke Blue Devils Athletics**
Web: www.goduke.com
- **The Duke Primate Center**
Web: www.lemur.duke.edu
- **The Nasher Museum of Art**
Web: www.nasher.duke.edu
- **The Mary Lou Williams Center for Black Culture**
Web: <http://mlw.studentaffairs.duke.edu>
- **Duke Performances**
Web: www.dukeperformances.duke.edu

For more information about topics covered in this section, please refer to the following sources:

- **Duke Human Resources – Benefits**
Web: www.hr.duke.edu/benefits
Phone: 919-684-5600

TIME AWAY FROM DUKE

Duke staff can take time away from work for a variety of reasons including personal, family, community, as well as other non-work related interests and obligations. While staff members are encouraged to use their accrued time off at their discretion, leave time must be scheduled and approved in advance by their supervisors to support the work of the department and colleagues.

UNIVERSITY

University staff accrue benefit time using a traditional vacation, holiday, and sick time model. University staff employed in regular positions who work at least 20 hours per week and are employed on a 12-month basis accrue vacation from the first day of employment. Accrued vacation and discretionary holidays may be used after successfully completing the first 90 days of employment.

Vacation:

Vacation accrual rates increase based on the length of service. The maximum accrued balance is two times the annual accumulation. Staff who work an abbreviated work schedule of at least 20 hours per week will earn vacation on a pro-rated basis.

- University staff in hourly-paid positions with less than four years of service can accrue up to 10 days of vacation per year. Vacation accrual increases to up to 15 days per year after four years of service and up to 20 days per year after nine years of service. Vacation time is accrued each biweekly pay period based on hours worked at the regular rate of pay.
- University staff in monthly-salaried positions can accrue up to 15 days of vacation per year during their early years of employment. This accrual rate increases to 20 days per year based on years of service and job level. Vacation time is accrued each monthly pay period. Refer to the Duke Human Resources Policy Manual for further details.

Designated and Discretionary Holidays:

Eligible university staff working at least 20 hours per week will receive 13 paid holidays per year, including designated holidays and discretionary holidays. The designated holiday schedules differ depending on the unit of the university in which staff work. Please see the designated schedule listed below that applies to your entity.

University Holidays:

New Year's Day	Thanksgiving Day
Martin Luther King Jr. Day	Friday after Thanksgiving
Memorial Day	Christmas Eve
Independence Day	Christmas Day
Labor Day	New Year's Eve

TIME AWAY FROM DUKE (continued)

The designated holiday schedule for university staff working in the academic medical and research units (School of Medicine, School of Nursing, and Private Diagnostic Clinic) are as follows.

Holidays for University Staff in Academic Medical and Research Units:

New Year's Day	Labor Day
Martin Luther King Jr. Day	Thanksgiving Day
Memorial Day	Christmas Day
Independence Day	

The discretionary holiday schedules, listed below, differ depending on the unit in which the university staff work.

University staff working on the first day of the month qualify to earn a discretionary holiday for the following months:

- February
- March
- April

University staff in academic medical and research units working on the first day of the month qualify to earn a discretionary holiday for the following months:

- February
- March
- April
- June
- August
- October

Sick Leave:

Duke provides accrual of up to 12 sick days per year with pay for personal illness or to care for immediate family members who are sick. Unused sick leave may be accumulated without limit for use during employment. There is no reimbursement of unused sick leave upon termination. However, unused sick time can provide additional credit under the Employees' Retirement Plan for hourly-paid employees.

Bereavement Leave:

Duke provides between three to five days off with pay to staff in hourly-paid positions to handle matters related to a death in the family. The amount of time provided is based on relationship to the family member. Staff in monthly-salaried positions may use accrued sick leave for bereavement leave.

DUKE UNIVERSITY HEALTH SYSTEM

Health system staff receive time off through Duke's "Paid Time Off" (PTO) plan – a program that combines vacation, holiday, bereavement, and sick leave. PTO is designed to provide supervisors and staff more flexibility in scheduling time off while managing the operational requirements of the employing unit.

Staff accrue or earn time off based on years of service and whether they are in an hourly-paid or monthly-salaried position. Staff in monthly-salaried positions accrue PTO based on scheduled hours. Staff in hourly-paid positions accrue PTO on hours paid up to 80 hours each biweekly pay period.

(Paid time off is not earned on overtime hours). Staff employed in regular positions who work at least 20 hours per week but less than 40 hours per week accrue PTO on a pro-rated basis.

- Staff in hourly-paid positions with less than four years of service can earn up to 30 days of PTO per year. PTO accrual increases up to 35 days per year after four years of service and up to 40 days per year after nine years of service. PTO is accrued each biweekly pay period in which staff are compensated for 80 hours at the regular rate of pay.
- Staff in monthly-salaried positions with less than five years of service can earn up to 35 days of PTO per year. PTO accrual increases up to 40 days per year after five years of service.

Recognized Holidays:

Duke University Health System staff must use accrued time from the Short-Term Bank for time off for holidays in accordance with the Paid Time Off policy. The Health System will recognize the designated holiday schedule listed below for holiday premium payment only.

New Year's Day	Labor Day
Martin Luther King Jr. Day	Thanksgiving Day
Memorial Day	Christmas Day
Independence Day	

ALL DUKE STAFF

Availability for Work Guidelines:

All of Duke's entities, schools, and departments should establish guidelines and procedures regarding attendance, tardiness, scheduled and unscheduled time off, and the requisite notification procedures for requesting these periods of leave. These procedures should be communicated and discussed regularly with all staff.

All supervisors are responsible for approving time off, and both supervisors and staff are expected to work together to schedule periods of leave from Duke. If a staff member is unable to report to work because of illness or other causes, he or she must notify their supervisor well ahead of the scheduled start time according to department notification procedures. Staff should inform their supervisor prior to an expected absence or tardiness.

Maintenance of Time-Off Records:

Schools, departments, and units at Duke are responsible for maintaining accurate time-off records for all staff and for ensuring that all work time is recorded and reported accurately through the appropriate time recording and reporting systems.

Kiel Memorial Voluntary Vacation and PTO Donation Program:

The Kiel Memorial Program provides donated time to staff who have exhausted their paid time off because of catastrophic illness or injury either to themselves or to eligible family members. This time – either vacation or PTO – is donated to the Kiel Memorial fund by staff and can be designated to a specific individual or a general fund.

TIME AWAY FROM DUKE (continued)

Leave for Parent Involvement in Schools:

In recognition that parent involvement is an essential component of a student's success, the state of North Carolina provides four hours per year of unpaid leave to any staff who is a parent, guardian or person standing in loco parentis of a school-aged child so that they may attend or otherwise be involved at that child's school. The leave must be a mutually agreed-upon time between the supervisor and staff.

Jury Duty or Subpoenaed Appearance:

Upon the receipt of a jury duty summons, staff must provide a supervisor with a copy of the document requesting the summons and also arrange for the necessary scheduled time off with pay. The court issuing this summons will provide the summoned juror a "proof of service" document that staff must provide to the supervisor upon returning to work.

Voting Absences:

Voting locations provide generous hours of access both before and after work. If time away from work is necessary to vote in any election (municipal, state or federal), staff must use accrued vacation or PTO for time away from work. This time off must be approved in advance by the individual's supervisor.

Leaves of Absence:

Duke offers leaves of absence to enable staff to temporarily leave active service for personal illnesses, the illnesses and/or care of immediate family members, educational needs, military service, family issues and/or personal matters. The purpose of a leave of absence is to protect the service of staff who have a need to temporarily leave active service but plan to return to Duke within the time specified by their leave of absence. Duke's leave of absence program is designed to allow for the continuation of applicable benefits coverage during this time. Duke provides the following plans for leaves of absence:

- **Family Medical Leave** – intended to complement the leave rights granted to staff by the Family Medical Leave Act and/or state laws.
- **Personal Leave of Absence** – designed to assist staff in their educational pursuits and for the pregnancies, illnesses, and injuries of staff ineligible for family medical leave.
- **Parental Leave Policy** – this Duke-sponsored benefit supports both male and female staff striving to balance the challenges of work and parenting.
- **Military Leave of Absence** – designed for Duke staff entering into active service with any branch of the US military.
- **Military Caregiver Leave** – allows staff to take FMLA leave to care for a spouse, son or daughter, parent, or next of kin who is a member of the Regular Armed Forces, National Guard or Reserves and who has incurred a serious injury or illness in the line of duty while on active duty status.
- **Military Exigency Leave** – allows staff who have a spouse, son or daughter, or parent in the National Guard or Reserves to take FMLA leave due to a qualifying exigency resulting from the family member's active military duty (or call to active duty status) in support of a contingency operation.

For more information about topics covered in this section, please refer to the following sources:

- **Duke Human Resources – Work Absences**

Web: www.hr.duke.edu/absences/

Phone: 919-684-5600

PAY ADMINISTRATION

Duke administers compensation policies and programs that support competitive and equitable pay based on like duties and responsibilities, comparability of backgrounds, performance contributions and available resources.

Duke's pay administration policies, plans, and programs are administered without regard to race, gender identity, ethnicity, religion, national origin, veteran status, sexual orientation, disability or age.

Job Descriptions:

Job descriptions exist for all regular staff positions and summarize typical duties and responsibilities as well as minimum hiring qualifications, including required education, experience level(s) and licensure(s)/certifications(s).

Fair Labor Standards Act (FLSA) – Exempt and Non-Exempt Designations:

The FLSA establishes provisions and standards to determine overtime pay, hours worked, record-keeping plans and child-labor provisions. Jobs at Duke are either classified as “exempt” or “non-exempt” work upon regulations of the FLSA.

FLSA regulations provide an exemption from overtime pay for staff employed as bona fide executive, administrative, professional and/or outside sales staff.

Non-Exempt Status

Duke is required by federal law to pay a regular hourly wage to staff performing non-exempt work. Duke is also required to pay staff performing non-exempt work for all hours worked beyond 40 hours in a workweek at the rate of one-and-a-half times their regular hourly wage.

Alternatively, certain staff in Duke University Health System may be paid overtime for hours worked over eight hours a day or 80 hours in a pay period.

Exempt Status

Staff performing exempt work are not covered by the overtime pay provisions of the FLSA and are not eligible to receive overtime pay for hours worked beyond 40 in a workweek.

Staff performing exempt work are paid on a salary basis and receive a predetermined amount of pay each pay period. Staff in exempt positions receive the full salary for any workweek in which they perform any work – regardless of the number of days or hours worked in the case of approved absences. Pay may also be charged to accrued benefits such as sick leave, vacation, holidays or PTO.

Hours Worked That Are Considered “Paid Time:”

All time during which staff perform non-exempt work or when staff are required or permitted to work is considered as hours worked or “work time.” Ordinarily, all hours from the beginning to the end of the work day are considered as work time. However, periods when staff are fully relieved of all work duties – such as during meal periods – are not considered work time.

Meal Periods:

When staff performing non-exempt work are scheduled for a full day of service, an unpaid meal period of at least 30 minutes should be scheduled.

Breaks:

Break periods are not required by the Fair Labor Standards Act (FLSA). However, as operational requirements permit and working conditions warrant, a 15-minute paid break is encouraged during any work period of four consecutive hours. Break periods enhance productivity by providing opportunities for staff to refresh and refocus.

UNIVERSITY PAY POLICIES

Merit Increases:

Duke is committed to linking the opportunity for annual pay increases to staff performance during the year. The opportunity for an annual merit increase is based on an individual's annual performance evaluation and annually approved guidelines. Merit increases are effective in July.

Merit Increase Guidelines for New Hires:

Duke supervisors are guided by the following protocols in determining pay increases for new hires:

- New staff employed for at least 90 days are eligible for one-half of the available full merit increase as based on the applicable fiscal year guidelines and designated performance.
- New staff employed for at least six months are eligible for the available full increase as based upon applicable fiscal year guidelines and designated performance.

Guidelines for Premium Pay – Shift, Weekend, Holiday, Standby, and Emergency Call Back:

Duke provides “premium pay” to staff in hourly-paid positions for working hours other than the standard Monday to Friday workday (“first shift”). Differentials and premiums are not paid on overtime hours.

The following categories of staff are eligible for premium pay:

- All regular staff in hourly-paid positions.
- Staff working on an abbreviated schedule (part-time).
- Staff working within the orientation and evaluation period.

The following categories and classifications of staff members are not eligible for premium pay:

- Staff working in secondary or temporary positions.
- Staff working out of their assigned position (hourly-paid staff who perform work for a defined period of time at a higher level than their job classification in their primary department).
- Staff in monthly-salaried positions.
- Staff in hourly-paid positions as a result of hours extended beyond their regular workday.

HEALTH SYSTEM PAY POLICIES

Merit Increases:

Duke is committed to linking the opportunity for annual pay increases to staff performance during the year. The opportunity for an annual merit increase is based on an individual's annual performance evaluation and annually approved guidelines. Merit increases are effective in October.

Merit Increase Guidelines for New Hires:

Duke supervisors are guided by the following protocols in determining pay increases for new hires:

- New staff hired prior to January 1 are eligible to receive 100 percent of the earned merit increase in October of that year based on the applicable fiscal year guidelines and designated performance.
- New staff hired during the period from January 1 to March 31 are eligible to receive 50 percent of the earned merit increase based on the applicable fiscal year guidelines and designated performance.
- New staff hired during the period from April 1 to September 30 are not eligible for a merit increase until the following evaluation period.

Guidelines for Premium Pay – Shift, Weekend, Holiday, Standby, and Emergency Call Back:

Duke provides “premium pay” to staff in hourly-paid positions for working hours other than the standard Monday to Friday workday (“first shift”).

The following rules regulate the ways in which premium pay may be paid to health system staff:

- **Majority Hour Rule** – This policy stipulates that premiums are paid based on the shift containing the majority of hours worked by staff. There is no capping of the work schedule.
- **Pyramiding Rule** – The “pyramiding rule” stipulates that special pay premiums such as shift differentials, weekend premiums, standby pays, and emergency callback pay will be paid on overtime hours.

The following categories and classifications of staff are not eligible for premium pay:

- Staff working in temporary and secondary positions.
- Staff working out of their assigned position (hourly-paid staff who perform work for a defined period of time at a higher level than their job classification in their primary department).
- Staff in monthly-salaried positions.

For more information about topics covered in this section, please refer to the following sources:

- **Duke Human Resources – Policies**

Web: www.hr.duke.edu/policies
Phone: 919-684-5600

- **Duke Human Resources – Compensation**

Web: www.hr.duke.edu/compensation
Phone: 919-684-5600

- **Staff and Labor Relations**

Phone: 919-684-2808 (university staff) or 919-684-5557 (health system staff and university staff in academic medical and research units)

PAYROLL

Corporate Payroll Services is responsible for the timely and accurate payment of salaries and wages and for the processing of all of Duke's payroll disbursements and related deductions. With an excess of 565,000 checks issued annually to faculty, staff, and students and with an annual payroll exceeding \$1.3 billion, it is necessary that strict regulation of the payroll process – through reporting deadlines, maintenance of records, and compliance with federal, state, and Duke-specific regulations – be maintained in order to process paychecks in a timely and accurate fashion.

Biweekly Pay Periods:

The biweekly pay period begins at 12:01 a.m. on Monday and runs 14 consecutive workdays, ending at 12:00 midnight the second following Sunday. Staff in hourly-paid positions are paid biweekly (every other Friday), based upon that year's payroll schedule. When a payday falls on a holiday, paychecks will be issued on the preceding workday.

Monthly Pay Periods:

The monthly pay period begins on the first calendar day of the month and ends on the last calendar day of that month. Staff in monthly-paid positions are paid on the 25th of each month of employment, or on the last regular weekday preceding the 25th, if that day of the month falls on a Saturday, Sunday, or bank holiday.

Direct Deposit:

Direct deposit provides the convenience of having paychecks electronically deposited into checking or savings accounts. All staff are strongly encouraged to take advantage of direct deposit because of the many advantages it offers. In addition to being efficient and convenient, direct deposit is the most reliable method of receiving pay. Staff can sign up for direct deposit online through the Duke@Work website, available at <http://work.duke.edu>, or by submitting a Direct Deposit Authorization form to the Payroll Office.

Lost/Stolen Paycheck and Paycheck Corrections:

One of the reasons that direct deposit is strongly encouraged is that checks that are physically lost or stolen can significantly delay the delivery of pay to staff. If a paycheck is lost or stolen, staff should contact their supervisor and department payroll representative immediately. Payroll representatives will contact Corporate Payroll Services to issue a stop payment on the lost or stolen check. After the financial institution has notified Corporate Payroll that payment of the check has been stopped, Payroll can issue a new check within three to four business days.

In the event of an error in payment, staff should contact their supervisor as soon as possible. Supervisors will then contact the appropriate payroll office and send the necessary paperwork to correct the matter. When Corporate Payroll Services receives the correction, the office will determine how the error is to be corrected – either through a manually created paycheck or in the individual's subsequent paycheck. Any questions concerning how or when corrections will be made should be directed to the supervisor and/or a department payroll representative.

Garnishment and Bankruptcy:

Duke is obligated by federal and state law to deduct or garnish wages from staff paychecks when child support, unpaid student loans, bankruptcy collection, or unpaid taxes are owed and/or overdue. Deductions from staff wages occur when Duke's Corporate Payroll Services receives a "Summons and Levy in Garnishment" or a "Wage Earner Plan" from federal or state institutions.

Garnishments remain active until Corporate Payroll Services receives a release or an amendment of these federal and state decrees. Duke does not refund any incorrectly deducted funds due to requisite garnishments. Instead, staff must request refunds from the agency directly authorizing the deduction.

Taxability of Awards and Gifts:

Gifts, rewards or awards may be provided to Duke staff for work-related achievements and/or recognition, making special contributions and achieving major milestones such as years of service, promotion, departure or retirement. The expense for such gifts or awards must follow prescribed accounting and procurement procedures.

The Internal Revenue Service classifies many awards to staff as taxable income subject to W-2 reporting and tax withholding. All monetary awards/gifts and cash equivalents, such as gift certificates and cards, are subject to personal income tax. Either the recipient or their employing department/entity must cover the tax liability. All recognition awards/gifts must be approved in advance by a dean, director or department head.

Definitions of “Work:”

Duke uses the following terms to set the definitions for its employment expectations:

- **Work Schedule** – Duke’s “work schedule” is defined as the many functions that must be performed or fulfilled by members of the Duke community 24-hours-a-day, seven days a week. The majority of work schedules are based on an 8-hour, 10-hour, or 12-hour workday, or on a 40-hour workweek or through an 80-hour biweekly pay period. Supervisors arrange staff work schedules when staff begin their service at Duke. Supervisors must provide staff with 30 days advanced notice before permanently changing existing schedules.
- **Workweek** – Duke’s “workweek” is the seven consecutive 24-hour periods or workdays beginning at 12:01 a.m. on a Monday and ending at 12:00 midnight on the following Sunday.

Recording and Reporting Hours Worked:

Staff in hourly-paid positions are required to accurately report time worked either by paper time cards, punch cards, or by swiping in and out of Duke’s electronic time and attendance system. When staff submit time worked, they are attesting that such information is accurate.

Daylight Saving Time Versus Eastern Standard Time:

Residents of North Carolina change clock time during the spring of every year in following “Daylight Saving” time procedures.

For more information about topics covered in this section, please refer to the following sources:

- **Corporate Payroll Services**
www.finsvc.duke.edu/finsvc/payroll/
Phone: 919-684-2642
- **Duke Human Resources – Policies**
www.hr.duke.edu/policies
Phone: 919-684-5600

WORKPLACE EXPECTATIONS AND GUIDELINES

Successful job performance depends upon an array of factors including – first and foremost – a clear and full understanding of and commitment to job performance expectations. Following both Duke and department specific policies and procedures will enable staff to achieve expected performance.

Supervisors and staff are encouraged to take advantage of the many resources available to support successful work performance. Duke also expects staff and supervisors to understand and adhere to the following performance procedures, plans and standards:

- Follow the New Staff Orientation Process – the protocol designed to ensure the successful introduction of new staff to organizational, department and job-specific expectations.
- Provide a full review and discussion of the Duke Staff Handbook. Staff should sign the Acknowledgement of Receipt and return the receipt to their supervisor to be kept in their department personnel file.
- Provide a full review and discussion of responsibilities and requirements, including mandatory training where applicable to ensure compliance with laws, regulations and policies.
- Provide a formal review and discussion of specific department and/or unit performance expectations.
- Conduct regular discussions between supervisors and staff in regard to performance progress and future expectations.
- Conduct discussions at least once a year of overall staff performance, future expectations and goals.

Duke's Standards of Conduct and Performance:

Duke holds a strong commitment to high ethical standards and full compliance with laws, regulations and policies. Staff are expected to perform job duties and responsibilities in a manner that reflects the highest ethical and professional standards.

Performance and Work-Related Behavior Counseling:

When staff are not meeting workplace expectations, supervisors have the responsibility to counsel and coach them. Supervisors are also expected to provide corrective action in such situations and document these corrective action processes. In some instances a “Performance Improvement Plan” should be initiated to assist supervisors and staff in addressing and resolving performance problems.

When considering corrective action, supervisors should consult with their entity’s/department’s Human Resources representative or a representative of Duke’s Staff and Labor Relations.

Corrective-Action Protocols:

Duke has designed corrective-action protocols to identify and correct problems or behaviors that affect the work performance of staff. The proper steps for corrective action must be handled consistently within and across each entity/department/unit and for each problem. In most cases, supervisors should develop a performance improvement plan to help staff identify and improve performance problems.

Duke’s “corrective action” processes include the following actions:

- **Written Warning** – documents discussions between a supervisor and staff member who fails to meet performance expectations. Under most circumstances, written warnings occur before more progressive corrective actions are undertaken by supervisors.
- **Final Written Warning or Suspension** – documents discussions between a supervisor and staff member who continues to fail to meet performance expectations after receiving a written warning. This action includes disciplinary or investigative suspension that provides for temporarily removing a staff member from the workplace for serious misconduct pending further investigation. Before a staff member is suspended, the supervisor must consult with the entity/department Human Resources representative or a Staff and Labor Relations representative to discuss the circumstances.
- **Termination** – occurs after written warnings are issued to staff who continue to fail to meet performance expectations. Terminations must be reviewed by the entity’s/department’s Human Resources representative and by Staff and Labor Relations prior to a final dismissal.

Progressive Corrective Action:

The goal of progressive corrective action is to guide the staff member towards satisfactory performance and/or appropriate behavior by identifying any deficiency, its causes and the expectation for meeting standards. In a progressive corrective action system, the severity of the penalty increases with each infraction of the performance/behavioral or attendance standards in the appropriate track. If there is no improvement or if there are repeat violations of the performance/behavioral or attendance standards, the corrective action may progress up to and including termination.

Track A: Performance/Behavioral	Track B: Attendance
<ul style="list-style-type: none">• Performance and Work Requests and Assignments• Compliance with Laws, Policies and Procedures• Attend Work as Scheduled• Safety and Use of Duke Property• Teamwork and Workplace Behavior – The maintenance of appropriate workplace behavior that fosters collaboration, customer service and teamwork	<ul style="list-style-type: none">• Availability for Work Policy

Expectations of Conduct and Performance:

Duke intends its corrective-action policies and procedures to be progressive. The following guidelines are provided to assist supervisors and staff in understanding expected conduct and performance, as well as typical (not required) corrective actions. Duke also reserves the right to effect immediate termination, if such action is deemed necessary.

WORKPLACE EXPECTATIONS AND GUIDELINES

(continued)

CATEGORY	EXPECTED CONDUCT AND PERFORMANCE	SUGGESTED CORRECTIVE ACTION STEPS FOR FAILURE TO MEET EXPECTED CONDUCT AND/OR PERFORMANCE		
		WRITTEN WARNING	FINAL WRITTEN WARNING/ SUSPENSION	TERMINATION
PERFORMANCE AND WORK REQUESTS AND ASSIGNMENTS:	Perform assigned tasks safely, competently and according to performance and behavioral expectations of the department/work unit.	✓		
	Successfully perform assigned job duties consistent with standards – both those specifically part of the job description and other duties related to the job (as assigned by a supervisor).	✓		
	Cooperate and collaborate with supervisors and coworkers in performing assignments and service requests.	✓		
COMPLIANCE WITH LAWS, POLICIES AND PROCEDURES:	Comply with all Duke, unit and department policies and procedures (i.e., administrative, Human Resources, clinical, financial, animal, and safety policies and procedures).	✓		
	Disclose possible conflicts of interest and/or conflicts of workplace commitment.	✓		
	Ensure and protect the confidentiality of sensitive information (oral, written or electronic). Confidential information should not be repeated, discussed or removed from the work area – except for legitimate and authorized work reasons.	Corrective action steps can vary depending on circumstances. See specific guidelines under the Duke Confidentiality Policy in the online Duke HR Policy Manual.		
	Comply with all federal, state and local standards and laws regulating the provision of professional services (licensure and scope of practice).			✓
	Behave with honesty and integrity in all employment actions including the maintenance and completion of records and the accurate recording of time worked.			✓
AVAILABILITY FOR WORK:	Attend work as scheduled – that is, arrive on time fully prepared to begin work and remain at work through the entire work period and request authorization according to established department procedures if there is a need to leave the workplace.	Corrective action steps can vary depending on circumstances. See specific guidelines under the Duke Availability for Work Policy in the online Duke HR Policy Manual. This is the only expected standard in progressive corrective action Track B.		
ATTEND WORK AS SCHEDULED:	Notify the supervisor well in advance of any unscheduled absence in accordance with department notification procedures.	✓		
	Being absent without notice for three consecutive workdays constitutes voluntary resignation.			✓

CATEGORY	EXPECTED CONDUCT AND PERFORMANCE	SUGGESTED CORRECTIVE ACTION STEPS FOR FAILURE TO MEET EXPECTED CONDUCT AND/OR PERFORMANCE		
		WRITTEN WARNING	FINAL WRITTEN WARNING	TERMINATION
SAFETY AND USE OF DUKE PROPERTY:	Use and safeguard the property of others and of Duke through proper and authorized use.	✓		
	Use Duke's property only for legitimate work purposes (telephones, e-mail, facsimile machines, computers, printers, copiers, cell phones, tools, vehicles, furniture and other work-related equipment).		✓	
TEAMWORK AND WORKPLACE BEHAVIOR – THE MAINTENANCE OF APPROPRIATE WORKPLACE BEHAVIOR THAT FOSTERS COLLABORATION, CUSTOMER SERVICE AND TEAMWORK:	Use respectful, courteous and helpful language when communicating with supervisors, co-workers and customers. Loud, boisterous and intimidating language will be a violation of accepted workplace standards and is not appropriate.	✓		
	Adhere to and comply with Duke and department-specific safety policies and training requirements. Identify safety issues, and report all hazards, incidents and safety concerns on a timely basis.	✓		
	Be productive and use all available time to accomplish expected work tasks – personal business should be accomplished outside of work time and/or during scheduled time-off.	✓		
	Dress for work according to the department's workplace attire guidelines – including the appropriate display of the Duke identification badge.	✓		
	Being disruptive, discourteous and/or insubordinate conduct will not be tolerated.		✓	
	Acting inappropriately (such as using profane, suggestive or abusive language) is a violation of accepted workplace standards and will not be tolerated.		✓	
	Acting inappropriately such as sleeping on the job (non-patient care position), or working or suspected of working under the influence of drugs or alcohol is a violation of accepted workplace standards.		✓	
	Acting inappropriately such as fraud, abuse, threats, harassment, illegal activities, sleeping on the job (patient care position), or possessing a weapon is a gross violation of accepted workplace standards and will be grounds for immediate termination.			✓
	Conduct that causes or threatens harm to others or that constitutes persistent, unwanted behaviors will not be tolerated and will be grounds for immediate termination.			✓



Dispute Resolution Process:

Duke has established the Dispute Resolution Process for fair, orderly and prompt resolution of disagreements. All regular staff (in monthly-salaried and hourly-paid positions) who have successfully completed the 90-day orientation and evaluation period of employment are eligible to use the Dispute Resolution Process when policy disagreements arise. This process does not cover temporary labor or any staff covered by a labor agreement.

- This process applies to any application or interpretation of Duke Human Resource policies or procedures as they affect work activities.
- Any claim based in whole or in part on federal, state or local laws whether statutory or common law shall be addressed through this procedure.
- Staff with complaints of harassment or discrimination may, at the option of the staff member, initiate their complaints under the Harassment Policy, which is administered by the Office for Institutional Equity.
- Issues related to job classifications and annual performance evaluations shall *not* be processed through this procedure.

Procedure

The Dispute Resolution Process includes the following steps:

1. **A) Face-to-Face Discussion** – Staff who believe that an employment policy has not been followed are encouraged to talk with their supervisor to reach a resolution. In the event the staff member and the supervisor are unable to resolve the dispute, the staff member must contact the Office of Staff and Labor Relations within 10 calendar days from the time of the incident causing the dispute. Once contacted, a Staff and Labor Relations representative will convene both the staff member and the supervisor in an attempt to clarify and resolve the dispute. **Note:** Disputes involving involuntary termination will begin at the department head level.
B) In the event the staff member and the supervisor are unable to resolve the dispute informally, the staff member, supervisor, and Staff and Labor Relations representative will meet with the department head to discuss the dispute and attempt to resolve the issue. If the issue is still unresolved, the department head will sign the Dispute Resolution Effort form and the staff member may move to the next phase of the process.
2. **Dispute Review Panel** – All unresolved disputes may be submitted for review by a panel of three Duke staff who will serve as an internal Dispute Review Panel. This review will take place within 15 calendar days after the staff member requests to move to a panel hearing. The three panel members will be selected by Human Resources from a list of trained, qualified individuals from across Duke who represent diversity of race, gender, job classification and employment level. The panel will submit its recommendation within 15 calendar days after the close of the hearing.
3. **Arbitration** – If the decision that is rendered as a result of the Dispute Review Panel leaves the dispute unresolved and the dispute relates to or involves involuntary termination, or includes allegations of sexual harassment or discrimination, the staff member may request an arbitration hearing. The arbitration hearing will be conducted by an outside arbitrator selected from a panel of neutral arbitrators assigned and administered by the American Arbitrators Association (AAA).
4. **Mediation (Optional)** – After step 1A of the dispute resolution procedure, the parties may agree to refer the issue to a trained mediator who can help facilitate discussion to achieve a suitable resolution for both parties. The next step may be delayed by 15 calendar days for both parties to participate in mediation.

Duke's Computer, Network, and Communication Systems:

Duke makes available computing and networking resources – including computer hardware and software, computer-based files and data, and all networks including the Internet – to authorized users for purposes consistent with Duke's mission, goals and objectives.

Duke University and Health System maintains a set of policies for acceptable use of its computer, network and communication systems. The policies are available at www.duke.edu/policies/it. Since these policies may change over time, employees should periodically review them to ensure understanding and compliance. Some Duke departments and entities may have additional guidelines and policies to meet their specific needs.

Confidentiality Agreement:

Many Duke staff have access to proprietary and/or confidential information. Any such information – whether it be verbal, written, faxed, photographic, or electronic – is considered as “privileged” and should be maintained in such a way that its privacy and safety are ensured. Furthermore, work-related and/or patient information should not be discussed in open areas such as hallways, elevators, lobbies, break rooms, cafeterias, etc. All staff must sign the Duke Confidentiality Agreement. A copy of this signed document must be retained in the individual's department file.

Reporting Concerns Related to Compliance or Fraud

It is the responsibility of all Duke staff to bring potential compliance concerns or violations to the attention of management so that they can be properly addressed. These issues should be reported immediately using any of the following means:

- Report directly to a supervisor, business manager, department head, or dean.
- Report to the subject-specific compliance office which deals with the issue involved (e.g. the Occupational and Environmental Safety Office for safety concerns or the Research Costing Compliance Office (RCC) for research cost compliance issues).
- Contact the Institutional Ethics & Compliance Program (IECP). The IECP Office can be reached by phone at 919-613-7691 or via email at iecp@duke.edu. The IECP Office will coordinate with the appropriate compliance offices and operational units to address all concerns raised.
- Call the toll-free Compliance & Fraud Hotline at 800-849-9793 to report any concern anonymously. This outside service will refer any issues reported to the IECP Office for action and will maintain the anonymity of the caller unless the caller agrees to be contacted directly.

Staff are also encouraged to report fraud, waste, and mismanagement to Duke's Internal Audit Office. This office maintains a hotline (919-613-7640) offering a confidential means to report these types of concerns.

All concerns reported to any Duke Compliance Office are taken seriously and will be reviewed to determine the appropriate course of action. The confidentiality of individuals assisting Duke by providing contact information will be protected. Duke policy, and in many cases federal law, protects individuals bringing such concerns forward in good faith from any retaliation and/or retribution.

Duke University Health System's Corporate Compliance Program and Code of Conduct:

DUHS requires that its staff, medical staff, and contractors promptly report situations in which they suspect violations of the DUHS Compliance Program, the DUHS Code of Conduct, other policies or procedures or federal or state laws such as the Federal False Claims Act. It is a violation of the Federal False Claims Act to knowingly submit, or cause another person or entity to submit, false claims for payment of government funds. Staff, medical staff, and contractors who suspect a violation of the False Claims Act or any other federal or state law, the DUHS Compliance Program, the DUHS Code of Conduct, or other policies or procedures are required to promptly report the situation using any of the following:

- Report directly to a supervisor, a department head or chair, or to the DUHS Chief Compliance Officer.
- Call the toll-free Compliance Program Integrity Line (1-800-826-8109).
- Email the DUHS Compliance office at compliance@mc.duke.edu.

Non-Solicitation Guidelines:

For reasons of safety and privacy, staff are prohibited from soliciting for any outside activity or organization during work time unless the solicitation is approved by Duke and is in accordance with the requirements and restrictions of this policy. Duke defines solicitation as including verbal or written communication, raffle tickets, for-sale merchandise, e-mail distributions, circulars, handbills, or other kinds of literature. Furthermore, staff should not use Duke computer and communication systems and materials – including inter-department mail, e-mail, telephone, fax, supplies, or other related workplace equipment – for any purposes not directly related to workplace business and/or activities without the expressed approval of a supervisor.

Arrest and/or Conviction of Staff:

Reporting Arrests or Convictions to Duke

If a staff member is arrested or convicted of a misdemeanor or felony while employed at Duke, he or she must inform a supervisor of the arrest or conviction no later than seven calendar days after the incident. Failure to inform a supervisor within this period may result in corrective action.

Arrests of Staff

The arrest of any staff – whether on or off Duke grounds – may also result in corrective action by Duke. Corrective action depends upon a review of all factors involved in the arrest. These factors may include but are not limited to the following concerns:

- Determination of whether or not the staff member's illegal action was work-related.
- Consideration of the nature and severity of the illegal activity.
- Determination of whether or not the circumstances resulting from the act will adversely affect a staff member's work attendance.

Criminal Convictions of Staff

If a staff member is convicted of a criminal offense while employed by Duke, he or she may be terminated and – if terminated – is ineligible for rehire. Termination will depend upon the nature of the offense and on the staff member's workplace duties. All actions taken under this policy must be made in consultation with the primary entity or department employing the convicted staff member and with the director of Staff and Labor Relations.

Criminal Drug Conviction Policy:

Staff convicted of violating any criminal drug statute while working at Duke must inform a supervisor within seven calendar days of the conviction(s) – including both guilty pleas and nolo contendere convictions. Failure to inform a supervisor of such convictions is cause for corrective actions, including termination for a first offense.

As an alternative to termination, Duke reserves the right to require staff convicted of criminal drug statute violations to participate in approved substance-abuse treatment programs.

Severe Weather and Emergency Conditions:

Duke must maintain essential services and operations during severe weather and emergency conditions. Essential services include maintaining hospital operations, supporting students in residence, operating research facilities, and providing necessary support and administrative services.

All Duke staff perform important services and work, and during extraordinary times of severe weather or emergency conditions, some positions require the on-site presence of many of our staff to continue the operation of patient care, student support, and research functioning. To ensure continuous operations during these conditions, all jobs are categorized into one of three service levels: Essential Service, Reserved Service, and Delayed Service. During the orientation and evaluation period, supervisors should designate a service level for all new staff, review the department's or unit's plan for severe weather and emergency conditions, and explain work expectations based on the assigned designation. Annually thereafter, the supervisor will review the department's or unit's Severe Weather and Emergency Conditions Plan and reconfirm service levels with all staff.

Leaving Duke:

Exit Survey Process

In order to assist with Duke's retention and recruitment efforts, an online exit survey process has been established for staff voluntarily terminating their employment with Duke. This process is designed to elicit voluntary information concerning their experience at Duke and their reasons for leaving. This data is collected, analyzed, and reported anonymously as part of Duke's continuing efforts to improve its policies, practices, and programs as well as to create a more favorable workplace environment and experience. This exit survey process does not apply to the following groups:

- Staff leaving Duke involuntarily
- Staff transferring within Duke
- Temporary staff
- Faculty
- Staff covered by union agreements

Voluntarily exiting staff should complete the exit survey once a final work date has been established or when the termination paperwork has been completed.

Voluntary Resignations or Retirements

For staff to leave Duke in good standing, they must give a written notice of resignation or retirement as follows:

- Staff in hourly-paid positions are required to give two weeks notice.
- Registered nurses performing either non-exempt or exempt work are required to give one month's notice.
- Staff in monthly-salaried positions are required to give one month's notice.

Staff who do not provide sufficient notice are not recommended for rehire. However, supervisors can choose to waive the notice period.

Involuntary Terminations

After appropriate counseling and corrective action, staff unable to meet the established standards of performance and conduct for their positions may be terminated. Involuntary termination requires prior review and approval by the staff member's primary entity/department Human Resources representative and by a Staff and Labor Relations representative. The termination process must be fully and properly documented.

Reduction-In-Force:

On occasion, economic or operational factors require a reduction in a department's workforce. The underlying philosophy concerning any reduction-in-force is that Duke values its staff whose performance meets expectations and who have no current corrective actions when positions must be eliminated. Where possible, Duke first attempts to redeploy eligible staff into comparable positions in which they meet position requirements. Following this process, Duke will work to sponsor short-term training options in an attempt to provide staff with the skills necessary for their placement into positions of comparable pay. Finally, if redeployment is not possible, Duke will implement layoff provisions.

Any staff directly affected by a reduction-in-force will receive at least a 60-day written notice of a layoff from either a supervisor, entity or department Human Resources representative, and the employee's department head. This notice will contain information including instructions about staff rights and responsibilities. Staff are expected to work until the effective position elimination date unless an exception has been approved by a staff member's entity or department Human Resources representative. Staff rehired by Duke within one year following layoff will retain all benefit eligibility accrued during the prior service period. Continuous Service Dates will remain the same as those prior to layoff.

The reduction-in-force process applies to all regular full-time and part-time staff but excludes both staff who have not completed the 90-day orientation and evaluation period and staff whose positions are *fully funded* by grants or term positions for special projects that have a specified end date (staff must be notified in writing at the time of hire that they are not eligible for severance). Staff layoff and recall rights that are covered by bargaining unit agreements are governed by the provisions of those agreements.

Access to Department and Duke Personnel Files:

The following procedures detail the ways in which current Duke staff may access department or Duke personnel files:

- **Department File Access** – Staff may review the department personnel file by scheduling an appointment with their supervisor. The supervisor must be in attendance during the file review, and the file is to be viewed only within the office in which it is kept. Staff may add to the department files letters of recommendation, employment references, or other materials they considered to be useful indicators of their work performance. Medical information, medical results, drug screens, worker’s compensation examinations, and diagnostic tests related to the job are kept by Duke Employee Occupational Health and Wellness and should not be kept by the department.
Other physician notes related to the job such as attendance or FMLA should be kept in a separate, confidential medical file.
- **Duke Personnel File Access** – Duke Human Resources maintains a copy of individual staff personnel files. This file contains payroll and benefits forms, all status-change forms, and other correspondence regarding an individual’s employment at Duke. Upon request, these files are available for review by current staff. Staff should contact Human Resources to schedule appointments to do so. In all cases, files are to be viewed only within the Duke Human Resources office.

For more information about topics covered in this section, please refer to the following sources:

- **Duke Human Resources – Policies**
www.hr.duke.edu/policies
Phone: 919-684-5600
- **Staff and Labor Relations**
Phone: 919-684-2808 (university staff) or 919-684-5557 (health system staff and university staff in academic medical and research units)
- **Office for Institutional Equity**
www.duke.edu/web/equity/
Phone: 919-684-8222
- **Computer, Network and Communication System Policy**
www.duke.edu/policies/it
- **Confidentiality Agreement**
www.hr.duke.edu/forms/confidentiality.html
- **Institutional Ethics and Compliance Program Office (IECP)**
Hotline: 800-849-9793
IECP office phone: 919-613-7691
Email: iecp@duke.edu

WORKPLACE HEALTH AND SAFETY

Duke strives to create a safe workplace environment for all its staff, students, patients and visitors. The well-being of the Duke workforce is maintained and enhanced by an array of health and safety policies explained in this section of the handbook.

ESTABLISHING WELLNESS THROUGH A COMMITMENT TO HEALTH

Duke encourages its staff to maintain and maximize their health because doing so improves their personal well-being, reduces health care costs, and enhances overall work performance.

Health and Wellness Programs:

Duke provides low cost and no charge services for eligible staff as part of its medical insurance plans and through LIVE FOR LIFE[®], Duke's wellness and health promotion program. LIVE FOR LIFE offers a variety of wellness opportunities, such as health assessments and education, fitness activities and nutrition activities to help eligible staff and family members reach their health and fitness goals.

Personal Assistance Service:

Personal Assistance Service includes a staff of licensed professionals who offer assessments short-term counseling and referrals to help resolve a range of personal, work, and family problems at no charge to staff.

Smoking Policy:

Duke is a smoke-free work environment. Smoking is only allowed in designated areas, and staff should check with their supervisors for such workplace locations. In support of its mission to improve and promote health, all Duke Medicine facilities – including those in the Duke University Health System, the School of Medicine, and the School of Nursing – are tobacco-free environments. Duke recognizes the health problems that commonly arise because of and in relation to smoking and provides resources through LIVE FOR LIFE that can help staff to quit smoking.

Pre-Placement Health Reviews:

Duke requires a pre-placement health review for certain positions. Each review is designed to ensure that staff have no health problems that could potentially endanger their safety at work or compromise or create health risks to Duke's patients, students, visitors, other staff, or the work environment in general. Such health reviews must be completed prior to beginning work.

Periodic Health Reviews:

Staff working in certain positions are required to undergo periodic health reviews designed to determine if their health has been affected by their work and/or work environment. When notified, staff are given a window of three months to complete a health review. All logged work time while under the review is considered as paid time.

Disability and Impairment:

Staff with physical or mental impairments that interfere with their abilities to perform appointed work should discuss their situation with their supervisor and contact Duke Employee Occupational Health and Wellness (EOHW) for assistance. Staff who need ongoing reasonable accommodation in the workplace for permanent disabilities may contact EOHW or Duke's Disability Management System Office to explore options provided for by the American Disabilities Act.

Workers' Compensation:

The North Carolina Workers' Compensation Act covers staff who sustain a compensable injury or occupational disease as a result of on-the-job work. In accordance with this act, Duke staff will not be paid through workers' compensation for the first seven calendar days of disability following the injury or illness. However, if the injury or illness results in a disability lasting more than 21 days, staff will be retroactively paid from workers' compensation from the date of the disability. Staff who are absent due to compensable injuries may use accrued PTO, sick leave, vacation time, or earned discretionary holidays to cover the work-time missed during the seven-day statutory waiting period.

Duke provides medical care for all work-related injuries or illnesses through its Employee Occupational Health & Wellness office, but all such injuries and illnesses must first be reported immediately to a staff member's supervisor. Work-related injuries and illnesses must be reported to a supervisor by filing a "Work-Related Accident, Injury or Illness Form" available online through the Human Resources website within 24 hours of the incident believed to be the cause of the injury or illness. Late reporting of the incident, be it by either the staff member or supervisor, may result in the department being responsible for 100 percent of the salary replacement. In addition, any blood or body fluid exposures must be reported for urgent attention to the Employee Occupational Health and Wellness hotline at 919-684-8115. Following the work-related illness or injury, it becomes Duke's goal to return staff to fully functional work status as soon as possible.

Employee Occupational Health & Wellness, Workers' Compensation, and the Occupational and Environmental Safety Office review all work-related injuries and illnesses. If the staff member is eligible for Family Medical Leave, it will run concurrent with the staff member's absence due to the on-the-job injury or illness.

SAFETY AND SECURITY

Duke is committed to promoting and supporting a safety culture that will help maintain staff health, increase productivity, minimize lost work time and reduce costs. All staff members are responsible for taking all practical steps to bring conditions, behaviors, or practices that create risks to the Duke community to the attention of their supervisors. The following resources are available to Duke staff in support of excellent safety practices.

Occupational and Environmental Safety:

All staff and supervisors are responsible for proactively managing the safety of their staff and their work environment. Staff must comply with safety policies and rules, and use safety equipment that is provided to help create and maintain a safe working environment. Staff should discuss safety concerns with their supervisors. Duke provides biological, chemical, ergonomic and institutional safety services through its Occupational and Environmental Safety Office. This department also handles safety services for fire and radiation. When safety concerns are suspected or discovered, staff are required to report all relevant information about the concerns to their immediate supervisors. Failure to comply with the safety policy may result in corrective action up to and including termination of employment.

Security at Duke:

The Duke Police Department operates 24 hours-a-day with a staff of uniformed police and security officers patrolling the university and health system complex on foot, in cars, or by mountain bikes. In addition to traditional police and security services, the Duke Police Department provides:

- Regular presentations on crime prevention and sexual-assault awareness
- Seminars on drug and alcohol awareness
- Safety engravings for personal property
- Personal safety escort services
- Surveys of facility safety
- Victim assistance
- Educational programs concerning workforce violence.

Prohibited Weapons Policy:

The possession of weapons is prohibited at all times on Duke's premises and while members of the Duke community conduct official business except in the case of Duke's police and security force.

ALCOHOL AND DRUG POLICIES

Alcohol Use at Duke:

Duke prohibits the unauthorized use, possession, storage, manufacture, distribution, dispensation, and sale of alcohol both on the premises and during any business conducted in Duke-owned or supplied vehicles.

Pre-Placement Substance Abuse Screening:

Prior to the completion of the hiring process, all health system applicants will be screened for the presence of illegal drugs and for blood-alcohol levels. Selected university positions require substance abuse screening based on federal, state, or institutional regulations. Applicants who fail this screening will not be hired and are not eligible to reapply for hire for one year.

Substance Abuse Policy:

As a drug-free workplace, Duke is required to certify its federal compliance with the 1988 "Drug Free Workplace Act" and the 1989 "Drug Free Schools and Communities Act Amendment." Substance abuse is detrimental to an individual's health and may jeopardize safety in the workplace. For these and other reasons, the unauthorized use or possession of alcohol, controlled substances, and the use or possession of illegal drugs is prohibited on Duke's premises and during Duke-sponsored activities.

Through its various human resource services, Duke offers drug education, counseling, rehabilitation, and coordination with available community resources.

**For more information about topics covered in this section,
please refer to the following sources:**

■ **Duke Human Resources – Policies**

Web: www.hr.duke.edu/policies

Phone: 919-684-5600

■ **Staff and Labor Relations**

Phone: 919-684-2808 (university staff) or 919-684-5557 (health system staff and university staff in academic medical and research units)

■ **Promoting Health at Duke**

Web: www.hr.duke.edu/health/

■ **Employee Occupational Health & Wellness**

Web: www.hr.duke.edu/eohw

Phone: 919-684-3136

■ **Occupational and Environmental Safety**

Web: www.safety.duke.edu

Phone: 919-684-2794

■ **Disability and Impairment – Disability Management System**

Web: www.access.duke.edu

Phone: 919-668-6213

■ **Workers' Compensation**

Web: www.hr.duke.edu/workcomp

Phone: 919-684-6693

■ **Duke University Police Department**

Web: www.duke.edu/web/police

Phone: 919-684-2444

■ **Personal Assistance Service (PAS)**

www.hr.duke.edu/pas

Phone: 919-416-1727

Durham Regional Hospital: 919-932-9026

Duke Raleigh Hospital: 919-872-4786

STAFF DEVELOPMENT AND CAREER PLANNING

Effective staff development is a continuously active collaboration between Duke supervisors and staff. Duke supervisors are responsible for guiding and supporting the professional development of their staff by offering learning opportunities, creating professional development protocols, and providing coaching and feedback. To assist supervisors in providing such opportunities for staff, Duke offers programs and resources that can help staff earn academic credit through continuing education or enhance their work-related skills. Duke staff also share in the responsibility for their own development and should talk with their supervisor about taking advantage of available resources for personal and professional growth.

Workshops and Seminars at Duke:

Duke offers workshops and seminars on a regular basis in the areas of work-skill improvement, management development, technology, life support, human resources, communications, career and personal development, family-life management, and health and safety. Catalogues of Duke's available workshops and seminars are published regularly by Learning and Organization Development, Health System Education Services, and Duke's Continuing Studies program. All staff with supervisory and department approval are eligible to participate in these workshops and seminars. However, certain learning events may have additional prerequisites or eligibility restrictions. Before registering for the event, staff and their supervisors should discuss the ways in which the time away from work will be scheduled and whether or not the time missed will be compensated. Because workshops and seminars are usually offered during normal working hours, hours spent in class are generally considered as compensated hours if approved in advance.

Staff can register for specific workshops and seminars by submitting a completed registration form to the appropriate department. A staff member's department supervisor is required to ensure that charges have been approved before the registration form is submitted. Registrations are processed on a first-come, first-served basis.

Career Planning and Advancement Opportunities:

Duke makes available a wide array of resources for staff career planning, skill building, and other promotional opportunities. One such resource is the Professional Development Institute, which is dedicated to providing professional development training programs and resources for Duke staff. The Institute offers long-term training programs, confidential appointments to all staff interested in seeking new opportunities at Duke, and an extensive online resource center. In addition, job vacancies are posted on the Duke Human Resources website to ensure that all eligible staff may be informed of job opportunities at Duke.

For more information about topics covered in this section, please refer to the following sources:

- **Duke Human Resources – Educational Benefits**
Web: www.hr.duke.edu/benefits/education/
Phone: 919-684-5600
- **Learning and Organization Development**
Web: www.hr.duke.edu/train
Phone: 919-613-7600
- **Professional Development Institute**
Web: www.hr.duke.edu/pdi/
Phone: 919-684-5406
- **Health System Education Services**
Web: <http://edservices.mc.duke.edu/>
Phone: 919-684-4293
- **Continuing Studies/Summer Sessions**
Web: www.learnmore.duke.edu/
Phone: 919-684-6259
- **Office of Continuing Medical Education (DOCME)**
Web: <http://cme.mc.duke.edu>
Phone: 919-401-1200



INTERNAL JOB OPPORTUNITIES

Duke's policies on recruiting, hiring, and transferring to other positions within the Duke community are designed to provide a fair and equitable process resulting in the appropriate match of a staff member's skills, knowledge, and experience with a given position's job requirements. This hiring and transferring process includes the following priorities:

- To identify and attract qualified and diverse applicants
- To give preference to qualified Duke staff – particularly to those who are affected by a reduction-in-force, layoff, or return to work due to worker's compensation.
- To encourage the career growth of current staff.

When planning a staff recruitment, a hiring supervisor should ensure the job description is up-to-date, determine if the position has an affirmative action hiring goal, and then begin the recruitment by considering internal candidates. The hiring supervisor should consider and interview all qualified internal applicants – especially those who are on redeployment, layoff, or return-to-work status.

Transfers and Promotions:

Staff have the opportunity for career growth and advancement through transfers and promotions within Duke. Expressing an interest in a transfer or promotion at Duke will not adversely affect a staff member's current employment. The specific procedures and qualifying periods for all staff applying for a transfer or promotion are outlined as follows:

Transfer and Promotion Eligibility Requirements

The following list details the prerequisites necessary for staff transfer and promotion:

- Employed as "current," "regular," or "part-time".
- Completed a minimum of six months of successful service in a position before becoming eligible to transfer or be promoted to another position at Duke. (Exceptions to this six-month requirement may be made by a current supervisor.)
- Current performance meets job expectations.
- Meets all of the job qualifications for the position.
- Has not received formal performance or conduct counseling with a corrective action within the last six months of employment. (Exceptions to this stipulation may only be made with the approval of the current supervisor, the interviewing supervisor, the entity or department Human Resources representative, and a Staff and Labor Relations representative.)

Application Processes and Guidelines

The following list details Duke's guidelines for job postings and hirings as well as the prerequisites necessary for job applications:

- All approved, vacant positions must be posted for a minimum of seven calendar days on the Duke Recruitment website. The Recruitment office electronically posts new vacancies daily so that all eligible staff may be informed of new job opportunities at Duke.
- Staff must ensure that they meet the competency and experience requirements for the position.
- Staff must develop or update their résumé in preparation for the application process and post it on the Human Resources' online system.
- Staff will be considered for all positions for which they apply and meet the minimum qualifications.
- Staff must inform their current supervisor of a transfer request before accepting another position at Duke so that the current supervisor and hiring supervisor can discuss staff performance and work background.

Trial Period for Internal Transfers and Promotions

A 90-calendar day trial period applies to all current staff who transfer into or are promoted to a new position. During the trial period, staff may continue to accrue time off and can request accrued and unused time off as PTO, vacation, sick leave, or holiday time.

Reference Checks for Internal Transfers or External Hires:

Prior to making an employment offer, a hiring supervisor should contact at least two of the applicant's internal or external references – one of which must be the applicant's current supervisor – in order to obtain verification of the applicant's work background, attendance, and performance credentials.

Applicants must submit a résumé in the online system prior to having their references checked. Submitting a résumé in Duke's online system gives Duke the right to obtain pertinent information about the applicant.

Offer of Employment:

Hiring approvals vary by schools, entities, and departments at Duke. A hiring supervisor should check with his or her school, entity, or department for the specific hiring approval requirements before making any offers of employment. If all approvals are not obtained, an assistant vice president of Human Resources – or a designee thereof – may declare an offer of employment invalid or subject to reversal.

A job candidate's offer of employment is conditioned by his or her proper completion of Duke's online application, satisfactory reference checks, and satisfactory pre-employment qualifications – including health screenings, and/or drug and alcohol screenings. U.S. citizens who have an I-9 form on file at Duke need not complete a new form when they change positions within or are rehired by Duke unless they have a break in service exceeding three years.

All offers of employment should be extended in writing and should be accepted in writing. Examples of offer of employment letters are available on the Duke Human Resources website.

Continuous Service Date:

A staff member's most recent date of hire is used to determine certain benefits – including paid time off, vacation accrual rates, seniority status, and eligibility for certain programs such as retirement. Staff who leave Duke in good standing and later wish to return to work at Duke are eligible for rehire. Staff who are rehired will not be given credit for prior service for purposes of continuous service date, paid time off (as PTO, vacation, or sick leave), or for other benefits unless they have left Duke within the last 12 months because of a layoff.

INTERNAL **JOB OPPORTUNITIES** (continued)

Eligibility for Rehire:

Staff who leave Duke in good standing (break in service from a regular position due to resignation, layoff or discharge) and later wish to return are eligible for consideration for rehire. Previous staff who are rehired will not be given credit for prior service for purposes of continuous service date, paid time off (including PTO, vacation, and sick leave) or eligibility and other pertinent benefits – unless they have left Duke in the last 12 months through layoff status.

Consultation before Determining Not Eligible for Rehire or Not Recommended for Rehire:

Supervisors must confer with the entity/department HR representative and a Staff and Labor Relations representative before determining a “Not Eligible for Rehire” or a “Not Recommended for Rehire” decision. Once agreement has been reached the supervisor must document and share the decision with the staff member.

Verification of Rehire Status:

Human Resources will verify eligibility for rehire before activating the application. The hiring supervisor will be advised of the former staff member’s eligibility for rehire and the requirement to check references, including contacting the previous Duke supervisor before extending an offer of rehire.

Duke Temporary Service:

Duke annually employs a significant number of temporary staff. Assignments may be from one day to several months in duration. Duke has an internal temporary staffing department, Duke Temporary Service (DTS), that can provide temporary staffing support to cover many of Duke’s diverse employment needs.

Nepotism Policy (Hiring of Relatives):

Duke staff may not hire or supervise their relatives. Exceptions to this policy are made by the vice president of Human Resources for Duke University – or by his or her designee.

For more information about topics covered in this section, please refer to the following sources:

■ **Duke Human Resources – Jobs**

www.hr.duke.edu/jobs/main.html

Phone: 919-684-5600

■ **Office for Institutional Equity**

www.duke.edu/web/equity/

Phone: 919-684-8222

AFFIRMATIVE ACTION AND EQUAL EMPLOYMENT POLICIES

Duke is committed to the concept of affirmative action in order to ensure equal opportunity. To accomplish these goals, Duke has developed a comprehensive Affirmative Action Plan that sets forth programs and directives for increasing the representation of women and minorities in all of its employment categories.

Equal Opportunity Policy:

Duke prohibits discrimination and harassment, and provides equal employment opportunity without regard to race, color, religion, national origin, disability, veteran status, sexual orientation, gender identity, sex, or age. Duke also makes good faith efforts to recruit, employ and promote qualified minorities, women, individuals with disabilities, and veterans.

Every member of the Duke community is encouraged to contribute to a workplace that is free from unlawful discrimination and harassment, demonstrates respect and celebrates diversity, and strives to build a more inclusive work environment. The Office for Institutional Equity (OIE) monitors the Equal Opportunity Policy, develops the annual Affirmative Actions Plans, reviews staff recruitment, hiring and other personnel activities, and provides technical advice and training to members of the university community. OIE also serves as liaison between Duke and the federal and state governments in issues related to contract compliance reporting and other regulatory issues.

Harassment and Discrimination Prevention:

To promote a respectful and productive working environment, Duke will not tolerate the harassment of any individual. Duke understands “harassment” to be defined as the creation of any hostile or intimidating environment in which verbal or physical conduct is severe or persistent enough to cause significant interference with a staff member’s work, education, or on-site living conditions. Harassment of any kind, including harassment based upon an individual’s age, color, disability, ethnic or national origin, gender, race, religion, class, institutional status, sexual orientation or gender identity.

Consensual Relationships:

Romantic and/or sexual relationships between supervisors and directly reporting staff are strongly discouraged. Such relationships have the potential for adverse consequences for all involved parties. Given the fundamentally unbalanced nature of these types of relationships, any apparently consensual capacity of the relationship may cast doubt upon the objectivity of the supervisors. In the event a personal relationship of this kind does exist, the supervisor must disclose the relationship to his/her superior and initiate arrangements to address any conflict-of-interest issues.

Americans with Disabilities Act (ADA) and the Rehabilitation Act:

Both the Americans with Disabilities Act (ADA) and the Rehabilitation Act prohibit employment discrimination practices against qualified persons with disabilities. These acts also require that employers provide reasonable accommodations to qualified individuals with disabilities.

AFFIRMATIVE ACTION AND EQUAL EMPLOYMENT POLICIES (continued)

For more information about topics covered in this section, please refer to the following sources:

- **Office for Institutional Equity**

www.duke.edu/web/equity/
Phone: 919-684-8222

- **Duke Human Resources – Policies**

www.hr.duke.edu/policies
Phone: 919-684-5600

- **Staff and Labor Relations**

Phone: 919-684-2808 (university) or 919-684-5557 (health system staff and university staff in academic medical and research units)

- **Disability and Impairment – Disability Management System**

www.access.duke.edu
Phone: 919-668-6213

GLOSSARY: HANDBOOK TERMINOLOGY

ABBREVIATED SCHEDULE – A work schedule of more than 20 but less than 40 hours per week.

COBRA (CONSOLIDATED OMNIBUS BUDGET RECONCILIATION ACT) – An act added to the Internal Revenue Code in 1985 allowing for specific staff and their dependents to continue health and dental insurance, and reimbursement accounts for a specified period of time after termination from Duke’s group health plans.

COMPARABLE PAY – Pay that is no more than a 10 percent reduction in current base salary.

COMPARABLE POSITION – A position is considered “comparable” if there is no more than a 10 percent reduction in current base salary. This is the primary consideration in determining whether or not a position is comparable. Secondary considerations – which will not define comparability, but will be factors in placing staff – include job level and job family.

CONTINUOUS SERVICE DATE – The most recent date of hire used to determine certain benefits including paid time off, vacation accrual rates, seniority status, and eligibility for certain programs.

DIRECT DEPOSIT – An agreement for staff pay to be directly deposited into a bank or credit union account.

DISPUTE RESOLUTION PROCESS – A process and procedure used for the fair, orderly, and prompt resolution of policy disputes.

DUKE – An umbrella term referring to the entire Duke community that includes Duke University and Duke University Health System.

ENTITY OR DEPARTMENT HUMAN RESOURCES REPRESENTATIVE – The primary Human Resources administrator for the entity, school, or department.

EQUAL OPPORTUNITY/AFFIRMATIVE ACTION – A policy of affirmative action for equal opportunity in employment without regard to race, religion, national origin, disability, veteran status, sexual orientation, gender identity, or age. This policy applies to all personnel actions – including compensation, benefits, transfers, promotions, layoffs, recalls, demotions, and terminations. It also pertains to Duke-sponsored training programs – including social, educational assistance, and recreational programs and the use of Duke facilities.

EXEMPT STATUS – Staff performing “exempt” work are not eligible for overtime pay and are not covered by the overtime pay provisions of the federal Fair Labor Standards Act. Staff performing “exempt” work are compensated on a salary basis and are paid monthly. This term is used interchangeably with “monthly” and “salaried.”

FAIR LABOR STANDARDS ACT (FLSA) – A federal statute with several provisions governing employment status – including stipulations regarding types of work for which overtime compensation must be paid and a minimum wage provided.

FULL-TIME SCHEDULE – A work schedule of not less than 40 hours per week. (And for benefits eligibility purposes, a work schedule of no less than 30 hours per week).

HARASSMENT – Any unwarranted and/or unwanted behavior that creates a hostile or intimidating environment in which verbal or physical conduct is severe or persistent enough to cause significant interference with a staff member’s work, education, or on-site living conditions. Duke policy prohibits harassment.

HEALTH SYSTEM – An umbrella term referring to the entities and units including Duke University Hospital, Durham Regional Hospital, Duke Raleigh Hospital, Duke Health Community Care, DUHS Clinical Labs, Duke University Affiliated Physicians, Patient Revenue Management Organization, Corporate Services, Duke Center for Living, and Duke Ambulatory Surgical Center.

JOB CLASSIFICATION – A group of positions with the same title, typical duties and responsibilities, classification description, and position code number.

LAYOFF – A loss of employment due to economic and/or operational factors requiring a workforce reduction. A layoff can be either temporary (when loss of employment is expected to be of a short duration – i.e., 30 calendar days or less) or permanent (when loss of employment is more than 30 days).

NON-EXEMPT STATUS – Duke is required by the Fair Labor Standards Act (FLSA) to pay staff performing “non-exempt” work a regular hourly wage. Duke is also required to pay staff performing “non-exempt” work overtime at the rate of one-and-one-half times his or her regular hourly rate based on a specified overtime method. Staff performing “non-exempt” work also fall under the minimum wage requirements of the law. Staff performing “non-exempt” work are required to account for all time worked as well as the use of PTO, sick, vacation, and other leave time on an hourly basis and are paid biweekly.

ORIENTATION AND EVALUATION – The first 90 calendar days after employment in a regular position at Duke. Its purpose is to provide new staff the time to develop familiarity with their department, colleagues, and job responsibilities. Newly hired Duke staff cannot use PTO, vacation, or sick leave during this period.

PART-TIME SCHEDULE – A work schedule of less than 20 hours per week.

GLOSSARY: HANDBOOK TERMINOLOGY (continued)

REDEPLOYMENT – Placing Duke staff into another comparable position at Duke within a 60-day notification period of a position elimination.

REDUCTION-IN-FORCE – The elimination of a work position for more than 30 calendar days in duration and, in some cases, a permanent phasing out of positions.

REGULAR POSITION – A job in which expected work will last more than 999 hours a year.

REGULAR STAFF – An individual who maintains continuous, regular employment status at Duke – as opposed to those classified as temporary, student staff, or staff who are fully funded by grant(s).

RETRAINING – The “training” or “retraining” that can be reasonably provided during the 60-day notification period to qualify staff for redeployment.

SCHEDULED TIME OFF – Any work period absence that has been approved in advance by a supervisor.

SENIORITY – A length of continuous service with Duke as defined by date of latest hire.

SEXUAL HARASSMENT – Unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature. Duke also understands that “sexual harassment” includes any instance in which submission to a sexual favor or conduct is made – either implicitly or explicitly – as a term or condition of employment as well as when submission to or rejection of a sexual favor or conduct is used as the basis for employment decisions. Duke policy prohibits sexual harassment.

SIXTY-DAY (60) NOTIFICATION PERIOD – The period of time given to staff who have been notified that their position will be eliminated for more than 30 days. During the 60 days, staff will continue working in their position on regular payroll. The 60-day notification is given to staff in order to urge the active pursuit of other employment opportunities both within and outside of Duke.

STAFF – Throughout this handbook, Duke-employed individuals are referred to as “staff” – regardless of the exempt or non-exempt status of their work or whether they are paid by the hour or salaried.

SUPERVISOR – This handbook often refers staff to their “supervisor.” Regardless of title, a “supervisor” is an individual to whom staff report. “Supervisors” have the responsibility and authority to direct, evaluate, and support the effective operation and performance of their staff.

TARDINESS – Any period(s) of time in which staff are not at their designated workstations, are not prepared to work at their scheduled start time, or return late from breaks or leave work early. Tardiness that extends to more than half of a staff member’s designated shift becomes automatically considered as “unscheduled time off.”

TRIAL PERIOD – The first 90 calendar days following a staff member’s transfer to another position at Duke. Its purpose is to provide staff the time to develop familiarity with their department, colleagues, and job responsibilities. Transferring staff can use accrued and unused PTO, vacation, and/or sick leave during this period.

UNIVERSITY – An umbrella term referring all of Duke’s academic schools – including Arts and Sciences, Law, Business, Engineering, Environment, Medicine, Nursing, Divinity and Graduate School – as well as Duke’s academic research, academic support units, and administrative functions.

UNSCHEDULED TIME OFF – Any work-period absence that is not approved in advance by a supervisor. Examples of unscheduled time off include instances in which staff report to work halfway through scheduled shifts or when staff are absent due to illness.

WORK SCHEDULE – Duke’s “work schedule” is defined as the many functions that must be performed or fulfilled by members of the Duke community 24-hours-a-day, seven-days-a-week. The majority of work schedules are based on an 8-hour, 10-hour, or 12-hour workday, or on a 40-hour workweek or through an 80-hour biweekly pay period. Supervisors arrange staff work schedules when staff begin their service at Duke. Supervisors must provide staff with 30 days advanced notice before permanently changing existing schedules.

WORKWEEK – Duke’s “workweek” is the seven consecutive 24-hour periods or workdays beginning at 12:01 a.m. on a Monday and ending at 12:00 midnight on the following Sunday.

DISCLAIMER

The information described in this handbook is intended to provide the guidelines and general information necessary to enable Duke staff and supervisors to work together successfully and effectively in order to accomplish assigned job responsibilities and – perhaps even more importantly – to support Duke’s overarching missions. Except as provided in the applicable grievance or dispute resolution procedures, information contained in any handbook, manual or document prepared for or relating to non-exempt and exempt staff is for informational purposes only and shall not be construed as a contract. Agreement to the terms of the applicable grievance or dispute resolution procedure, as may be periodically amended and which is available upon request from the Office of Human Resources, is a condition of employment and continuing employment.

In summary, while this handbook strives to be a wide-ranging information resource, it should not be understood as a full-replacement of Duke’s official policies or of its more comprehensive procedures and guidelines. If you find that you have questions that are not answered here, please contact your immediate supervisor or refer to the Duke Human Resources Policy Manual (www.hr.duke.edu/policies) for additional information.

Finally, the provisions of this version of the “Duke Staff Handbook” supersede those put forth in all previous editions of the handbook. This handbook may not be amended or added to in any way without the express written approval of designated leadership staff.

Policies or procedures referenced in this handbook may have changed since the printing of the handbook. Please refer to the Duke Human Resources Policy Manual at www.hr.duke.edu/policies for the current version of all policies and procedures.



IMPORTANT CONTACT INFORMATION

Corporate Payroll Services

www.finsvc.duke.edu/finsvc/payroll/

Phone: 919-684-2642

Disability Management System

www.access.duke.edu

Phone: 919-668-6213

Duke Card Office

<http://dukecard.duke.edu>

Phone: 919-684-5800 (university staff) or 919-684-2273

(health system staff and university staff in academic medical and research units)

Duke Human Resources

www.hr.duke.edu

Phone: 919-684-5600

Office: 705 Broad Street

Duke University Police Department

www.duke.edu/web/police

Phone: 919-684-2444

Employee Occupational Health & Wellness

www.hr.duke.edu/eohw

Phone: 919-684-3136

Occupational and Environmental Safety

www.safety.duke.edu

Phone: 919-684-2794

Parking and Transportation Services

Web: <http://parking.duke.edu>

Phone: 919-684-PARK (7275)

Severe Weather and Emergency Conditions

www.hr.duke.edu/weather

Staff and Labor Relations

Phone: 919-684-2808 (university staff) or 919-684-5557

(health system staff and university staff in academic medical and research units)

Workers' Compensation

www.hr.duke.edu/workcomp

Phone: 919-684-6693

DUKE STAFF HANDBOOK: ACKNOWLEDGEMENT OF RECEIPT

My initials and signature indicate that I have reviewed and had the opportunity to discuss with a supervisor any questions that I have had regarding the content of this handbook.

I understand that I have an obligation to inform my supervisor, Human Resources, and Payroll of any changes in my personal information – including, but not limited to, my phone number and address. I also accept responsibility for contacting my supervisor, Human Resources, or Payroll if I have additional questions or concerns or need further explanation about these or subsequent policies, procedures, and/or guidelines.

I recognize that the original, signed “Acknowledgement of Receipt” document has been given to me and a copy has been placed in my department personnel file. I also understand that a copy of this handbook and additional details about Duke Human Resources policies and procedures are available online at www.hr.duke.edu/policies.

POLICY/DOCUMENT	INITIALS	DATE
DUKE STAFF HANDBOOK REVIEW AND DISCUSSION		
GUIDELINES FOR TIME OFF (SCHEDULED AND UNSCHEDULED) AND NOTIFICATION PROCEDURES		
GUIDELINES FOR TARDINESS		
SEVERE WEATHER AND EMERGENCY CONDITIONS: DEPARTMENT/UNIT PLAN AND EXPECTATIONS; CATEGORY DESIGNATION		
EXPECTED CONDUCT AND PERFORMANCE		
CORRECTIVE-ACTION PROTOCOLS		
DISPUTE RESOLUTION PROCESSES		
CONFIDENTIALITY AGREEMENT		

Staff Member’s Signature

Date

Supervisor’s Signature

Date