

EMPLOYEE HANDBOOK

UTILITY SERVICE BOARD

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WELCOME

Welcome to the City of Frankfort Utility Services

We believe that each employee contributes directly to our growth and success, and we hope you will take pride in being a member of our team.

This Employee Handbook was developed to describe some of the expectations of our employees and to outline the policies, programs, and benefits available to eligible employees. Employees should familiarize themselves with the contents of the Employee Handbook as soon as possible, for it will answer many questions about employment with the Utility Service Board.

We hope that your experience here will be challenging, enjoyable, and rewarding. Again, welcome.

Sincerely,

The City of Frankfort Utility Service Board.

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SECTION ONE - INTRODUCTION

This Employee Handbook is designed to acquaint you with the City of Frankfort Utility Service Board and provide you with information about working conditions, employee benefits, and some of the policies affecting your employment. Employees are expected to read, understand, and comply with all provisions of the Employee Handbook. It describes many of the responsibilities as an employee and outlines the programs developed by the Utility Service Board to benefit employees. One of our objectives is to provide a work environment that is conducive to both personal and professional growth.

No Employee Handbook can anticipate every circumstance or question about policy. The Utility Service Board reserves the right to add, revise or rescind any policies or portion of the Employee Handbook from time to time as it deems appropriate, in its sole and absolute discretion. The interpretation and administration of these policies shall be under the jurisdiction of the Utility Service Board. The only exception to any changes is our employment-at-will policy. Employees will be notified of such changes to the Employee Handbook as they occur.

The contents of this handbook apply to all employees of the Utility Service Board. In those instances where there is a difference in policies for employees covered under a collective bargaining agreement, the terms and conditions of the collective bargaining agreement will take precedence.

Although every effort is made to ensure that our personnel policies are in strict compliance with State and Federal regulations, should a discrepancy exist due to changing regulations or for any other reason, State and Federal guidelines will always supersede any unintended policy deviation from regulations.

Nothing contained in this Employee Handbook is intended to create, nor shall be construed as creating, an expressed or implied contract of employment or guarantee of employment for any term or for any specific procedures.

EMPLOYEE ACKNOWLEDGEMENT FORM

The Employee Handbook describes important information about the Utility Service Board, and I understand that I should consult my supervisor regarding any questions not answered in the Employee Handbook. I have entered into my employment relationship with the Utility Service Board, voluntarily and acknowledge that there is no specified length of employment. Accordingly, either the Utility Service Board, or I can terminate the relationship at will, with or without cause, at any time, so long as there is no violation of applicable federal or state law.

Since the information, policies, and benefits described here are necessarily subject to change, I acknowledge that revisions to the Employee Handbook may occur, except to the Utility Service Board's, policy of employment-at-will. All such changes will be communicated through official notices, and I understand that revised information may supersede, modify, or eliminate existing policies. Only the Utility Service Board has the ability to adopt any revisions to the policies in this Employee Handbook.

I also acknowledge that I have received the Alcohol and Drug Abuse Policy and the Drug Testing Policy of the Service Utility Board. I understand that these policies are available to me at my request and that I have read these policies.

Furthermore, I acknowledge that this Employee Handbook is neither a contract of employment nor a legal document. I have received the Employee Handbook, and I understand that it is my responsibility to read and comply with the policies contained in this Employee Handbook and any revisions made to it.

EMPLOYEE'S NAME (printed):

EMPLOYEE'S SIGNATURE:

WITNESS: _____

DATE: _____

SECTION TWO - EMPLOYMENT

EQUAL EMPLOYMENT OPPORTUNITY

In order to provide equal employment and advancement opportunities to all individuals, employment decisions at the Utility Service Board will be based on merit, qualifications, and abilities. The Utility Service Board does not discriminate in employment opportunities or practices on the basis of race, color, religion, sex, national origin, age, or any other characteristic protected by law.

This policy governs all aspects of employment, including selection, job assignment, compensation, discipline, termination, access to benefits and training.

Any employee with questions or concerns about any type of discrimination in the workplace is encouraged to bring these issues to the attention of their Superintendent. Employees can raise concerns and make reports without fear of reprisal. Anyone found to be engaging in any type of unlawful discrimination will be subject to disciplinary action, up to and including termination of employment.

PERSONS WITH DISABILITIES

It is the policy of the Utility Service Board to employ, advance and otherwise treat qualified individuals without regard to their disability in all employment practices. The Utility Service Board will attempt to accommodate disabled employees and job applicants to enable them to perform the essential functions of their jobs in a safe and efficient manner.

The Utility Service Board will afford reasonable accommodation to qualified applicants and employees with a known disability, provided that the accommodation does not cause undue hardship to the Utility Service Board, or, irrespective of the accommodation, that such individuals do not pose a direct threat to the health and safety of themselves or others.

Members of the public, including individuals with disabilities, may submit suggestions to municipal officials on how the municipality might better meet the needs of individuals with disabilities pursuant to its stated policy. Pre-employment inquiries are made only regarding an applicant's ability to perform the essential duties of the position.

EMPLOYMENT AT WILL

We hope that each employee's period of employment at the Utility Service Board can be a rewarding experience. However, we recognize that circumstances change with the passage of time and that some employees may seek opportunities elsewhere or choose to leave the Utility Service Board for other reasons. Others may not fulfill the operational needs of the Utility Service Board or changed circumstances may reduce available employment opportunities, which may result in involuntary terminations.

We sincerely hope that none of these situations occurs, but realistically we have to acknowledge that the possibility does exist. Therefore, the right of the employee or the Utility Service Board to terminate the employment relations "at will" is recognized and affirmed as a condition of employment. "At will" means that an employee's employment can be terminated at any time with or without notice. Similarly, the employee retains the same right.

IMMIGRATION LAW COMPLIANCE

The Utility Service Board is committed to employing only United States citizens and aliens who are authorized to work in the United States and does not unlawfully discriminate on the basis of citizenship or national origin.

In compliance with the Immigration Reform and Control Act of 1986, each new employee, as a condition of employment, must complete the Employment Eligibility Verification Form, I-9, and present documentation establishing identity and employment eligibility. Former employees who are rehired must also complete the form if they have not completed an I-9 with the Utility Service Board within the past three years, or if their previous I-9 is no longer retained or valid.

Employees with questions or seeking more information on immigration law issues are encouraged to contact Human Resources. Employees may raise questions or complaints about immigration law compliance without fear of reprisal.

PRE - EMPLOYMENT DRUG TESTING

The Utility Service Board's offer to hire any individual will be conditioned upon the individual's successful completion of a drug and/or alcohol test. The testing will occur before and individual is officially hired. Any individual who refuses to submit to such a test, or who has a positive controlled substance test result, as defined by federal regulations or by this policy, will not be considered for employment with the Utility Service Board. A physician or lab appointed by the Utility Service Board at the Board's expense will conduct the employment drug testing.

BACKGROUND CHECK AND CRIMINAL INVESTIGATION

A background check and criminal investigation will be required of all applicants.

When a background check and criminal investigation is required, employment and assignment, when applicable, will be conditional pending the receipt of a satisfactory report. All efforts are made to have the results prior to beginning employment.

MOTOR VEHICLE INQUIRY (BMV) REPORT

Prospective employees expected to drive Utility Service Board vehicles will provide Human Resources and/or the hiring department with current and acceptable motor vehicle driving information.

Employment and assignment will be conditional pending the receipt of a satisfactory report from the appropriate Bureau of Motor Vehicles (BMV).

For insurance purposes, the Board will also require an annual report on the driving status of each employee required to operate a USB vehicle.

INTRODUCTORY PERIOD

The Introductory Period is intended to give new employees the opportunity to demonstrate their ability to achieve a satisfactory level of performance and to determine whether the new position meets their expectations. Superintendents use this period to evaluate employee capabilities, work habits, and overall performance. Either the employee or the General Manager may end the employment relationship at will at any time during or after the introductory period, with or without cause or advance notice.

All new and rehired employees work on an introductory basis for the first six (6) months after their date of hire. Any significant absence will automatically extend an introductory period by the length of the absence. If the Superintendent determines that the designated introductory period does not allow sufficient time to thoroughly evaluate the employee's performance, the introductory period may be extended for a period specified by the Superintendent with the approval of the General Manager.

Upon satisfactory completion of the initial introductory period, employees enter the Regular Full Time or Regular Part Time employment classification.

During the initial introductory period, new employees are eligible for those benefits that are required by law, such as workers' compensation insurance and Social Security. They may also be eligible for other Utility Service Board-provided benefits, subject to the terms and conditions of each benefits program.

Benefits eligibility and employment status is not changed during the secondary introductory period that result from a promotion or transfer within the Utility Service Board.

CONTINUOUS SERVICE DATE

In order to have a record of an employee's benefits, a continuous service date will be maintained for each employee.

The continuous service will be the employee's first day of employment and will continue uninterrupted as long as the employee remains an employee of the Utility Service Board.

Length of service for all regular employees shall be determined by the date of most recent hire except for reinstatements subsequent to separation for the following reasons:

1. Entry into the Armed Services.
2. Illness, including pregnancy, or injury during a period of six (6) months or less.
3. Negotiated transfer to or from another Frankfort USB position

The length of service for persons hired on a Regular Part-Time basis and who have worked 1000 hours in a calendar year and who later change to regular Full-Time status (while continuously employed), will be determined from time of original employment. This policy is not retroactive from date of adoption for any previous employment situations.

Termination of employment and a complete loss of accumulated seniority shall occur when an employee:

- Fails to return from an authorized leave of absence within the approved period.
- Voluntarily terminates his or her employment.
- Is absent from work for three (3) consecutive days with no notice.
- Is discharged for cause.
- Fails to report for work within five (5) days after being recalled from layoff after receiving notice by registered mail to the last known address of the employee.
- Is laid off due to lack of work and not recalled within one (1) year from the date of

layoff.

EMPLOYEE INFORMATION

Employees are asked to help keep Human Resources informed about any major change, which may affect their employment status. Important changes to report include:

- Name
- Address
- Home telephone number
- Marital status
- Number of dependents
- Emergency telephone numbers and whom to notify in case of emergency
- Change of beneficiary
- Authorized payroll deductions
- Additional education and special training courses

CATEGORIES OF EMPLOYEES

Employees are divided into the following categories for the purpose of pay and benefits.

Regular Full-Time Employees

Employees who are regularly scheduled to work 40 hours or more on a full workweek basis for a continuous and indefinite period of time are considered regular full time employees for pay and benefit purposes.

Regular Part-Time Employees

Employees who are regularly scheduled to work less than 40 hours on a full workweek basis for a continuous and indefinite period are considered regular part-time employees for all compensation and benefit purposes. Regular part-time employees are eligible for some benefits by specific reference only.

Temporary/Seasonal Employees

Employees hired as temporary/seasonal replacement for regular full-time or regular part-time employees, or for short periods of employment such as summer months, peak periods and vacations are considered temporary/seasonal employees. Temporary/Seasonal employees are eligible for some benefits by specific reference only.

Non-Exempt Employees

Non-exempt employees are expected to confine their work to the normal workday and workweek unless their Superintendent authorizes overtime in advance. Non-exempt employees will be paid overtime for all authorized hours worked in excess of forty (40) hours per week.

Exempt Employees

Individuals who are employed in administrative, executive, professional, or outside sales, and some computer related positions are specifically exempt from the Federal Wage and Hour Law. The hours worked by these exempt employees are often irregular and may begin or end beyond the normal scheduled hours. Therefore exempt employees are excluded from the overtime provisions of the Federal Wage and Hour Law and do not receive overtime pay.

PERSONNEL FILES

Human Resources will maintain a file on each employee in the Human Resources office. An employee's personnel file begins with the employee's completed employment application form. From time to time various information will be added to the personnel file regarding an individual's employment status with the Utility Service Board. Personnel files are the property of the Utility Service Board and will be treated the same as any other confidential Utility Service Board information.

The following provisions apply with respect to the Utility Service Board standards for establishing, maintaining and handling employee personnel files;

- All official records concerning an employee will be kept up to date insofar as possible, and all employees shall promptly report all pertinent personal information and data changes to Human Resources.
- Employees will be permitted to review their personnel files as permitted by applicable laws in the presence of Human Resources staff.
- The personnel file of an employee terminating employment will be maintained in accordance with the applicable state and federal laws.
- All employee disciplinary documentation will be kept in a separate personnel filing system under the supervision of the Human Resources Director.

CONTENTS OF PERSONNEL FILES

Employee personnel files will include the following:

- Original employment application
- Performance appraisal reports
- Special commendation information
- Educational achievement records
- Status changes affecting employee's work and salary history
- Employee's resume (if submitted)
- Other relevant documents as determined by the Clerk/Treasurer or the USB Board
- W2 and W 4 forms

EMPLOYEE'S REQUEST FOR REVIEW OF PERSONNEL FILE

The following provisions apply with respect to an employee request to review the employee's personnel file:

- The Director of Human Resources will have the responsibility of coordinating the review of an employee's personnel file.

- Human Resources staff must be present while the employee reviews the employee's personnel file.

The employee may take notes, but may not remove, deface or otherwise make notations on the documents in the employee's personnel file.

- Upon request from the employee, Human Resources will provide a copy of any items in the employee's personnel file.

BOARD OR SUPERINTENDENT REVIEW OF PERSONNEL FILE

All information in the employee personnel files is considered confidential. This information will only be available to the Utility Service Board, the General Manager, the employee, and the Superintendent who is responsible for the employee. Any violations of this policy are considered a very serious offense.

One exception will be in a transfer situation where the Superintendent of the department to which an employee may be transferred will be allowed to review the employee's file with the approval of the Board.

OUTSIDE EMPLOYMENT

The Utility Service Board makes every effort to keep its employees as fully employed as possible and at a good rate of pay. When an employee is on the job this means that 100 percent of the employee's effort is required. If an employee chooses to work outside of the employee's job and the outside employment competes with what is expected of him/her as an employee of the Utility Service Board opportunities for promotion and advancement with the Utility Service Board may be limited by the employee's decision.

If the General Manager, in consultation with the Utility Service Board, feels that outside employment prevents an employee from fulfilling the employee's obligations to the Department, the employee may be asked to resign or to leave the employee's outside employment.

Employees who wish to hold an outside job must inform their Superintendent. All supervisory personnel are expected to enforce this policy and, by example, refrain from conflicting outside employment.

NEW EMPLOYEES

All new hires must have prior approval of the USB Board.

EMPLOYMENT OF RELATIVES

In addition to the above, no relative of a USB member, a Superintendent or current employee may be employed without approval of the Utility Service Board.

EMPLOYMENT OF MINORS

All new hires must have prior approval of the USB Board. Should the Board have any reason to question whether an individual applicant is under age 18; the applicant may be required to furnish proof of birth date.

RESIDENCY

Employees of the Utility Service Board residency requirements will be determined by the General Manager.

FAMILY EMERGENCY

In the event the Department or the respective work site receives word of an emergency related to a member of any employee's family, the employee will be notified as soon as possible. Should an employee be at a location away from the employee's normal workplace, arrangements will be made to contact the employee, and if necessary, arrange for the employee to return home immediately.

EMERGENCY CLOSINGS

At times, emergencies such as severe weather, fires, power failures, or earthquakes, can disrupt governmental operations. In extreme cases, these circumstances may require the closing of a work facility. In the event that such an emergency occurs during non-working hours, local radio and/or television stations will be asked to broadcast notification of the closing.

When facilities are officially closed due to an emergency declared by the Mayor's Office, employees may use a vacation day, personal day or take the day as unpaid time off. Employees may be required to report for work on a day when operations are officially closed. In these circumstances, employees who work will receive regular pay. Employees scheduled to work on these days who do not report for work may use a vacation day, personal day or take the time as unpaid.

When operations are not officially closed and employees are unable to get to work, employees may use a vacation day, personal day or take the time as unpaid.

For the purpose of timekeeping and attendance, an emergency refers to states of emergency declared by the Mayor's Office or by authorities of the state or Federal Governments.

In city declared weather-related emergencies, employees who can safely travel to and from work may be asked by their Department Head to report for work due to the office workload or time sensitive nature of the work to be performed. In all such cases, first consideration shall be given to employee safety.

All employees, who due to inclement weather conditions are unable to perform their regular duties of their respective classification, shall receive no reduction in pay for the time they are unable to perform such duties, and shall remain during the hours of their shift on the premises or on location to which they may be assigned and if required to perform services other than those required of their job classification, shall do so.

JOB DESCRIPTIONS

The Utility Service Board makes every effort to create and maintain accurate job descriptions for positions within the organization. Each description includes a job information section, a job summary section (giving a general overview of the job's purpose), an essential duties and responsibilities section, a supervisory responsibilities section, a qualifications section (including education and/or experience, language skills, mathematical skills, reasoning ability, and any certification required), a physical demands section, and a work environment section.

Human Resources maintains job descriptions to aid in orienting new employees to their jobs, identifying the requirements of each position, establishing hiring criteria, setting standards for employee performance evaluations, and establishing a basis for making reasonable accommodations for individuals with disabilities.

The supervisor and the Superintendent (under the direction of the General Manager) prepare job descriptions when new positions are created. Existing job descriptions are also reviewed and revised in order to ensure that they are up to date. Job descriptions may also be rewritten periodically to reflect any changes in the position's duties and responsibilities. All employees will be expected to help ensure that their job descriptions are accurate and current, reflecting the work being done.

Employees should remember that job descriptions do not necessarily cover every task or duty that might be assigned, and that additional responsibilities may be assigned as necessary. Contact your supervisor if you have any questions or concerns about your job description.

ADVANCEMENT

The Utility Service Board believes in promoting from within. We want employees to have the opportunity for promotion to higher paying positions within the Utility Service Board. A promotion will be based on such factors as quality and quantity of work, prior job performance, experience, educational background, attendance record, safety record, the ability to work well with others, and the potential to successfully perform the duties of the new position.

The USB reserves the right to look outside the Utility Service Board staff if we feel that an employee cannot be found within the existing staff that meets the qualification standards of the position.

PERFORMANCE EVALUATIONS

The Superintendent may evaluate performance of employees annually. The evaluation consists of a personal interview during which an employee's strengths and weaknesses are discussed and evaluated and recommendations for improvements are made. These interviews also identify the short and long-range goals of employees and determine how they interrelate with the Utility Service Board's goals, purpose, and objectives. The completion of the evaluation period should not be considered a guarantee of permanent employment. The Utility Service Board evaluates employee's performance on a continuing basis and reserves the right to terminate an employee at any time during or after the evaluation period.

SEPARATION FROM EMPLOYMENT

An employee may be separated from employment by retirement, voluntary resignation, lack of work, or termination. Usually, before an employee is terminated, he/she will be told the reason(s) and will be counseled by the Superintendent and/or the General Manager. However, if any misconduct warranting discipline is severe enough, the Board or the Superintendent have the authority to discharge the employee immediately.

The General Manager will advise the Board immediately of the date and reason for terminating an employee.

Upon resignation or termination, the employee is required to contact the Human Resource Department for possible conversion of group insurance and to address any financial issues. Any employee terminating employment is expected to return any Utility Service Board property in their possession.

Any employee voluntarily resigning their position with the Utility Service Board must submit and complete a two (2) week notice of resignation.

SECTION THREE: PAY AND WORK SCHEDULES

WORK SCHEDULE AND WORK HOURS

The Utility Service Board standard workweek begins at 12:01 AM Saturday and runs through 12:00 midnight on Friday. The standard workweek is forty (40) hours or five (5) eight (8) hour days.

Regular office hours for the Utility Billing Office, the Utility Auditor's Office and clerical employees of the City Light and Power Office, Waterworks, Wastewater Treatment Plant, and the Sewer Maintenance Division will be Monday through Friday from 8:00 am to 5:00 pm.

The Utility Service Board may determine that staffing needs and operational demands may necessitate variations in starting and ending times, as well as variations in the total hours that may be scheduled each day and week.

Each employee is expected to complete a normal workday and work week and work whatever reasonable additional hours that are required to meet the Department's needs.

Superintendents will inform employees of breaks and/or lunch periods. Employees are expected back at their workstation ready to start work at the end of each break and/or lunch period.

All employees working an eight (8) hour day shall have a minimum one hour unpaid lunch break. Employees working in operations that are 24/7 and scheduled to work an eight (8) hour shift will have a twenty (20) minute paid lunch break during their shift.

OVERTIME

Employees will be expected to work overtime in case of emergency or when necessary in the best interests of the Department. If necessary, overtime work will be authorized by the Superintendent beyond an employee's standard workweek. Overtime will be paid at the rate of time and a half for hours worked in excess of forty (40) hours per week.

Compensatory time in lieu of overtime pay may be offered with the mutual consent of the employee and the Superintendent. No employee shall accumulate more than forty (40) hours of compensatory time. Compensatory time does not apply to collective bargaining

employees.

Pay for sick days, holidays, excused absence for death in the family, vacation time, and personal days not actually worked is considered hours not worked when computing overtime. In special situations some employees may be requested to work overtime and the above hours taken may be considered as hours worked.

In the event an employee has to work a second day beyond their normal work schedule, the employee shall be paid at two (2) times their regular rate of pay.

TIME RECORDS

Government regulations require that the Utility Service Board keep an accurate record of hours worked by employees. Employees are required to write in the times when they report to work and when they leave. Employees' time cards should reflect no earlier than five (5) minutes prior to their starting time and no later than five (5) minutes after their scheduled workday has ended unless approved by the Superintendent. Pay will be calculated to the nearest 15 minutes.

All hourly-paid employees will have all "write-in" or overtime approved by their supervisor daily. Each employee must take the employee's scheduled lunch unless prior approval has been obtained from the immediate supervisor because of extenuating circumstance.

It is a violation of Utility Service Board policy for one employee to complete another employee's time card or to alter the employee's own time card or that of another employee.

If an employee has a question concerning the employee's time card, he should discuss the matter with the employee's Superintendent.

PAY PERIOD AND PAYMENT

- A. The salaries of elected officials, appointed officials, and employees of the Utility Service Board shall be paid bi-weekly, on Friday.
- B. All hourly employees of the USB shall be paid bi-weekly after the Supervisor has filed a payroll voucher with the Clerk/Treasurer. In the event the payday falls on a legal holiday, payment shall be made on the working day preceding the holiday.

PAYROLL DEDUCTIONS

The Utility Service Board will make arrangements for payroll deductions as authorized.

Any deductions (other than statutory deductions) must be authorized by the employee. No other deductions will be made unless specifically authorized in writing by the employee. All deductions will be itemized on the employee's paycheck stub. Questions regarding payroll deductions should be directed to the Clerk/Treasurer's office.

ERROR IN PAY

The Utility Service Board takes precautions to ensure that employees are paid correctly; however, if an error does occur, the employee should notify their Superintendent. The Utility Service Board will make every attempt to adjust the error no later than the employee's next pay period.

PAY UPON SEPARATION OF EMPLOYMENT

Employees who terminate their employment from the Department will be paid for all time

worked and compensatory time (less deductions) and unused vacation on the next regular pay day according to the applicable federal and state laws.

In the event of the death of an active employee, the heirs or estate will be paid the amounts, which would have been paid the employee for unused vacation pay during that year. An employee who has exhausted all accrued vacation for the current calendar year under these policies would receive no additional monies. However, in the event vacation benefits were not exhausted for the calendar year, as indicated by length of service, the remaining amount would be paid.

The Utility Service Board or the General Manager will determine if the terminating employee has any outstanding debt owed to the Utility Service Board and whether the individual has in their possession any Department credit cards, uniforms, tools, keys, safety equipment, manuals, vehicles, or any other USB property.

After a full accounting of the employee's and the Utility Service Board's accounts (as determined by the Superintendent is completed, a final paycheck will be issued to the employee in accordance with state law.

The final check will not reflect any time not actually worked except for an employee separated from employment with the Utility Service Board for any reason before he has taken part or all of the employee's earned but unused vacation and unused compensatory time. The employee will receive the employee's unused vacation pay at the time of separation from employment.

TRAVEL EXPENSE POLICY

The Utility Service Board has established a Travel and Expense Policy for all employees. If you are required to travel for the Board, please contact Human Resources for a copy of the current policy. All business related travel paid with the Utility Service Board funds must comply with Board expenditure policies.

SECTION FOUR — EMPLOYEE BENEFITS

EMPLOYEE BENEFITS

The Utility Service Board provides employees with a well-balanced program of benefits to help meet the needs of employees and provide protection from financial hardship.

Employees will be provided an Employee Benefit Packet at the time of employment and when there is a change in any of the benefit programs. The eligibility requirements of these benefits are described in the benefits booklets.

Regular Full-Time, Newly Hired Regular Full-Time and Appointed Officials are eligible for benefits as approved by the Utility Service Board.

RETIREMENT

An employee who has accumulated vested retirement benefits under the pension plan under which they are covered under may retire with pension benefits. Retired employees who are eligible to receive monetary benefits and are at least 60 years of age will be offered continued

health, dental, and vision insurance coverage until they reach age 65 or become eligible for Medicare. This would include legal spouses until Medicare eligibility. Employees who elect such coverage will pay the amount established by the Utility Service Board in effect at the time of retirement. The USB reserves the right to modify this amount at any time in the future.

Dental and Vision coverage is only available to retired employees if the medical insurance is continued. All group employee medical insurance terminates at age 65 or when the retiree becomes eligible for Medicare. Group life insurance terminates at retirement. Employees may purchase conversion life insurance by paying the premium for the insurance if offered by the insurer.

CONTINUATION OF HEALTH INSURANCE (COBRA)

Employees

- Employees terminating for reasons other than for gross misconduct may continue group health insurance coverage for up to eighteen (18) months (twenty-nine (29) months if disabled at the time of termination) at their own expense according to COBRA regulations.
 - Retired or disabled public employees are eligible to participate in the group health insurance plan of the Utility Service Board according to the statutes of the State of Indiana.
 - Employees whose work hours are reduced to a point where they are ineligible for coverage may also continue coverage for up to eighteen (18) months (twenty-nine (29) months if disabled at the time of termination) at their own expense.
 - COBRA modification, costs, application, and procedure information will be mailed to the employee when applicable.
 - The employee must make notification in writing of their intent to continue coverage within sixty (60) days of the date of notification and must pay the premiums according to premium schedules.
 - Failure to make notification in writing or pay premiums is considered notice of cancellation of this option.
- Dependents

- Dependents no longer eligible for coverage under the employee's group insurance certificate due to employee's death, a divorced or legally separated spouse, or a child ceasing to be a dependent, may continue group health insurance for up to thirty-six (36) months at the expense of the employee or the dependent.
- The dependent must make notification in writing within sixty (60) days of the date of notification of their intent to continue coverage.
- Failure to make notification in writing or pay premiums is considered notice of cancellation of their option.

HOLIDAYS AND HOLIDAY PAY

The Utility Service Board will publish an annual holiday schedule prior to the beginning of the upcoming year.

The following provisions apply with regard to holidays observed by the Utility Service Board:

- If a holiday falls on a Saturday, the employee shall have the preceding day as the holiday.
- If the holiday falls on a Sunday, the employee shall have the next day as the holiday.
- If the holidays fall on a Friday and Saturday, the employee shall have the preceding Thursday and Friday as the holidays.
- If the holidays fall on a Saturday and Sunday, the employee shall have the preceding Friday and the next Monday as the holidays.
- If the holidays fall on a Sunday and Monday, the employee shall have the preceding Friday and Monday as the holidays.

An employee must be in a paid status for the regularly scheduled workdays before and after a holiday either because of work or a scheduled absence approved for pay to be eligible for holiday pay.

Holiday pay shall be paid at straight time if the holiday is not worked. Paid holiday time will be considered as time not worked for the purpose of computing overtime.

In the event an employee is required to work on any holiday, the employee shall be paid one and one half times their regular rate of pay for the first eight (8) hours worked. For all hours worked in excess of eight (8) hours on a holiday, the employee shall be paid at two (2) times their regular rate of pay. In addition, the employee shall receive the holiday pay for the scheduled holiday.

Part Time employees are eligible for holiday pay when the holiday falls on a regularly scheduled work day. Temporary employees are not eligible for holiday under any circumstances

VACATION

Each regular employee shall be entitled to a vacation with pay in accordance with the following rules and schedules:

Vacation Eligibility

The Utility Service Board recognizes that employees need a scheduled time away from normal work duties for their personal well-being. The Utility Service Board grants annual vacation with pay to regular full-time employees. Eligibility for vacations is computed as of the calendar date of hire. The following table outlines the vacation schedule for all employees of the Utility Service Board based on years of service.

Vacation days will be credited at the beginning of the year based on the employee's length of service for the upcoming year. If an employee voluntarily leaves employment during the year and has unused vacation time remaining, they will be paid their regular rate of pay for that vacation time. If an employee is involuntarily terminated, no vacation payout is provided.

The following table outlines the vacation schedule for all non-contractual employees of the Utility Service Board based on their years of service. New employees shall earn one day of vacation during the year in which they are hired up to a maximum of 4 days as outlined below.

MONTH HIRED	VACATION DAYS EARNED	MONTH HIRED	VACATION DAYS EARNED
January	4	July	2
February	4	August	2
March	3	September	1
April	3	October	1
May	2	November	0
June	2	December	0

YEARS OF SERVICE	VACATION DAYS PER YEAR
One year or less see above	
Start 1-2	5 days
Start 2 thru 7	10 days
Start 8 thru 14	15 days
Start 15 thru 19	20 days
Start 20	21 days
Start 21	22 days
Start 22	23 days
Start 23	24 days
Start 24	25 days

Vacation Schedules

Employees are expected to take their paid vacation time as a means of rest and diversion for themselves and their families. The Department Head must approve vacation in advance.

A holiday observed by the Utility Service Board that falls during the vacation period will be considered as a paid holiday and not vacation time. This day of vacation may be taken at another time as approved.

Vacations must be scheduled in consideration of seasonal job requirements and so that operation of all departments will not be impaired by vacation absences.

Job requirements will always have precedence over vacation schedules. Length of service will be considered in the event a conflict of vacation schedules arises. Part-time employees accrue no vacation eligibility.

Vacation Pay

Pay in lieu of unused vacation at any time will be provided only at the convenience of the Utilities and when recommended by the Superintendent and approved in advance by the General Manager.

- a. In the event that an employee is called in to work while he is on vacation, he shall have the option of either being paid at the applicable overtime rate for the time worked, plus his vacation pay, or being paid at his straight-time rate of pay for the time worked and taking the rest of his vacation at a later time.
- b. If an employee terminates his employment by providing the Utility with not less than fourteen (14) days written notice of his intention to so terminate, or is laid off, or enters the military service of the United States, or dies, he, or his estate in case of death, shall be entitled to vacation pay in lieu of vacation which is due the employee in accordance with the provisions herein, including the prorated vacation earned during the then-current year.
- c. Vacations shall be taken in 4-hour increments at a time.

Vacation Pay

The following provisions apply with regard to vacation pay:

- Pay for vacation time will be based on the vacation schedule at the time vacation is taken.
- Paid vacation time will not be considered as time worked for the purpose of computing overtime.
- In the event of termination (other than discharge for misconduct), pay will be given for all unused vacation but not for any accrued for the next year.

PERSONAL BUSINESS DAYS

Each employee shall be permitted 3 personal business days during each calendar year for personal business. These personal business hours should be scheduled with the supervisor prior to the start of the day requested. These personal business hours are non-cumulative. Employees who resign or who are terminated in any way will not be compensated for unused personal business hours. Employees are not eligible for any personal days until completion of six (6) months of employment.

SICK DAYS

The Utility Service Board recognizes the need to grant paid sick leave for its employees within certain limitations. This policy applies to all full time employees. Sick leave is a privilege granted to an employee as a protection in the event the employee becomes ill and is unable to work.

Following six(6) months of employment, a new employee shall be credited with 7.5 (60hours) sick days. Employees shall receive an additional credit of 10 sick leave hours for each month after six (6) months. Employees with one or more years of service shall be credited with 15 sick days (120 hours) each January 1st.

At the end of each calendar year, unused sick days will be accumulated to each employee's credit to a maximum of 150 days. An employee who has exhausted all of their sick days will be in a no pay status for absences until they are credited with additional days.

Paid sick leave can be used only for personal illness or family illness which absolutely necessitates the employee's absence from their duties. Sick leave is only eligible to be used for work days.

Sick leave benefits may be used to supplement any payments that an employee is eligible to receive from workers' compensation benefits.

The employee or someone on their behalf shall notify the Superintendent of the absence of the employee as soon as possible prior to the scheduled hours of work.

The presentation of a physician's written certification of illness will be required when the Superintendent deems a certificate necessary, or when the employee is absent more than three (3) consecutive days.

No payment for sick days shall be allowed for illness or injury caused by or associated with the use of drugs or intoxicants, willful violence or as result of working for another employer.

Employees who are eligible for retirement under their pension plan will receive a cash payment equal to ½ days pay for each of their accumulated sick days. No other terminating employees are eligible for payout of unused sick days.

Family Medical Leave of Absence (FMLA)

Frankfort Utilities Service Board hereinafter referred to as "Board", will comply with the Family and Medical Leave Act implementing Regulations as revised effective March, 2013. The "Board" posts the mandatory FMLA Notice and upon hire provides all new employees with notices required by the U.S. Department of Labor (DOL) on employee rights and responsibilities.

The "Board" provides covered employees with up to 12 weeks of unpaid, job protected leave for the following reasons:

- For incapacity due to pregnancy, prenatal medical care or child birth;
- To care for the employee's child after birth, or placement for adoption or foster care;
- To care for the employee's spouse, son or daughter, or parent, who has a serious health condition
- For a serious health condition that makes the employee unable to perform their job.

Eligible employees with a spouse, son, daughter or parent on active duty or called to active duty status to a foreign country in the Armed Forces may use their 12 week leave entitlement to address certain qualifying exigencies.

Qualifying exigencies may include attending certain military events, up to 15 days of rest and recuperation leave to spend with the deployed family member on leave, emergent care for the deployed family member's parents, arranging for alternative child care, addressing certain financial and legal requirements, attending certain counseling sessions, and attending post-deployment reintegration briefings.

FMLA also includes a special leave entitlement that permits eligible employees to take up to 26 weeks of leave to care for a covered service member during a single 12-month period beginning on the date leave is first taken for this reason. A covered service member is either:

- a current member of the Armed Forces (including a member of the National Guard or Reserves) who is undergoing medical treatment, recuperation, or therapy, is in outpatient status, or is on the temporary disability retired list, for a serious injury or illness, or
- a veteran of the Armed Forces (including the National Guard or Reserves) discharged within the five-year period before the family member first takes military caregiver leave to care for the veteran and who is undergoing medical treatment, recuperation, or therapy for a qualifying serious injury or illness. A veteran who was dishonorably discharged does not meet the FMLA definition of a covered service member.

For a current service member, a serious injury or illness is one that may render the service member medically unfit to perform his or her military duties. For a veteran, a serious injury or illness is one that rendered the veteran medically unfit to perform his or her military duties, or an injury or illness that qualifies the veteran for certain benefits from the Department of Veterans Affairs or substantially impairs the veteran's ability to work. For veterans, it includes injuries or illnesses that were incurred or aggravated during military service but that did not manifest until after the veteran left active duty.

During FMLA the "Board" will maintain the employee's health coverage under the group plan. Upon return from FMLA leave, employee will be restored to their original or equivalent position with equivalent pay, benefits and other terms of employment. If the employee is not receiving a check, the employee must pay the employee's portion of all benefits to the Clerk/Treasurer in advance on or before the first day of each month.

Eligible employees may request family leave only after having completed 365 calendar days of service, and worked for 1,250 hours over the previous 12 months. The 12 months need not have been consecutive. Separate periods of employment will be counted, provided that the break in service does not exceed seven years.

Employees must provide 30 days notice of the need to take FMLA leave when the need is foreseeable. When 30 days' notice is not possible, the employee must provide notice as soon as practicable, or within 2 business days and generally must comply with the Board's normal call in procedure.

A serious health condition means an illness, injury, impairment, or physical or mental condition that involves either an overnight stay in a medical care facility, or continuing treatment by a health care provider for a condition that either prevents the employee from performing the functions of the employee's job or prevents the qualified family member from participating in school or other daily activities.

Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than 3 consecutive calendar days combined with at least two visits to a health care provider or one visit and a regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.

An employee does not need to use leave entitlement in one block. Leave can be taken intermittently or on a reduced schedule when medically necessary. Employees must make reasonable efforts to schedule leave for planned medical treatment so as not to unduly disrupt the "Board's operations.

Employees will be required to first use unused sick days, unused personal days and one-half of their vacation time before taking unpaid family leave.

Employees must provide sufficient information for to the Human Resources to determine if the leave may qualify for FMLA protection and the anticipated timing and duration of the leave. Sufficient information may include that the employee is unable to perform their job functions; the family member is unable to perform daily activities; or the need for hospitalization or continuing treatment by a health care provider. Employees must provide sufficient information to the "Board" to determine if the circumstances support the need for military family leave.

Employees must also inform the Human Resources if the requested leave is for a reason for which FMLA was previously taken or certified. Employees also may be required to provide a certification and periodic recertification supporting the need for leave.

Disability leave for the birth of the child and for an employee's serious health condition, including workers' compensation leave (to the extent that it qualifies), will be designated as FMLA leave and will run concurrently with FMLA.

Employees may request up to a maximum of twelve weeks of family leave within any twelve-month period. The "Board" utilizes a "rolling" 12-month period measured forward from the date an employee uses any FMLA leave. Any combination of family leave and medical leave may not

exceed this maximum limit.

The Human Resources will inform employees requesting leave whether they are eligible under FMLA. If they are, the Human Resources must specify any additional information required as well as the employees' rights and responsibilities. If they are not eligible, the employee will be provided a reason for the ineligibility. The Human Resources will inform employees if the leave will be designated as FMLA-protected and the amount of leave counted against the employee's leave entitlement. If the the leave is not FMLA protected, the employee will be notified.

The "Board" will require certification for the employee's serious health condition, a family member's serious health condition, a qualifying exigency for military family leave, or for a serious injury or illness of a covered service member for military family leave. The employee must respond to such a request within 15 days of the request or provide a reasonable explanation for the delay. Failure to provide certification may result in a denial of continuation of leave. Medical certification will be provided to the employee's home address.

Human Resources may directly contact the employee's health care provider for verification or clarification purposes using a health care professional or leave administrator. Additional information will be requested through the employee.

Human Resources has the right to ask for a second opinion if it has reason to doubt the certification. The "Board" will pay for the employee to get a certification from a second doctor, which will be selected by Human Resources. FMLA leave may be denied to an employee who refuses to *release* relevant *medical* records to the health care provider designated to provide a second or third opinion. If necessary to resolve a conflict between the original certification and the second opinion, the Human Resources will require the opinion of a third doctor.

HR and the employee will mutually select the third doctor, and the "Board" will pay for the opinion. This third opinion will be considered final. The employee will be provisionally entitled to leave and benefits under the FMLA pending the second and/or third opinion.

If a husband and wife both work for the "Board" and each wishes to take leave for the birth of a child, adoption or placement of a child in foster care, or to care for a parent (but not a parent "in-law") with a serious health condition, the husband and wife may only take a combined total of 12 weeks of leave. If a husband and wife both work for the "Board" and each wishes to take leave to care for a covered injured or ill service member, the husband and wife may only take a combined total of 26 weeks of leave.

So that an employee's return to work can be properly scheduled, an employee on family leave is requested to provide Human Resources with at least two weeks advance notice of the date the employee intends to return to work. An employee who takes leave under this policy may be asked to provide a fitness for duty clearance from the health care provider. This requirement will be included in the response to the FMLA request.

When leave under The Family and Medical Leave Act has expired, an employee who remains unable to return to work because of a medical condition but expects to be able to return to work

within the next 90 days, the employee may apply to the General Manager for a 90-day extension of the medical leave. The General Manager will submit an application to the Utility Service Board for approval.

This application must be supported by a statement from the employee's physician indicating that although the employee is unable to return to work within the time period of the original FMLA leave, the physician reasonably believes that the employee will be able to return to work within the next 90 days.

Employment will be terminated after 180 days from the start of FMLA leave if the employee is unable to return to work.

PREGNANCY-RELATED ABSENCES

The Utility Service Board will not discriminate against any employee who request an excused absence for medical disabilities associated with a pregnancy. Such leave requests will be made in accordance with the medical leave policy provisions outlined in this handbook and in accordance with all applicable federal and state laws.

Regular Full Time Employees are eligible to request leave as described in this policy.

Requests for time off associated with pregnancy and/or childbirth (apart from medical disabilities associated with these conditions) will be considered in the same manner as any other request for an unpaid personal or family leave.

MILITARY LEAVE OF ABSENCE

Regular full-time and regular part-time employees are entitled to a leave of absence from their respective positions without loss of pay for the time they are performing service in the uniform services. Employees who are non-career service members in the uniformed military service of the United States and who are involuntarily called to active military duty shall be paid their full wages for the first fifteen (15) days of active duty each year.

Following the first 15 days of active military duty, upon the employee's provision to the Board of military orders and an Leave and earnings statement (LES) showing the amount of the employee's military pay and other benefits, the employee shall be paid by the Board the amount by which the employee's regular weekly earnings exceed the employee's military pay, including benefits, for the period of time which the employee remains on active duty, not to exceed twelve (12) months.

This paid military leave shall not apply to a period of re-enlistment that occurs during the involuntary activation period. Additionally, contributions to the employee's pension plan shall be made in the same amount as if the employee had remained in his/her employment with the Utility Service Board, and contributions by the Board to health insurance for the employee and his/her family, if the employee was a member of the health insurance plan prior to activation, shall continue during employee's period of active military service unless the Board's contract for health insurance prohibits such continuation.

This benefit is conditioned upon the employee reporting back to work within fourteen (14) days or within the time prescribed by the Uniform Services Employment and Re-

employment Act of 1994, the employee not receiving a discharge for other than honorable service and the employee's ability to perform the essential functions of his/her position or a similar position.

Uniformed services means the Armed Forces of the United States, a ready reserve component of the Armed Forces, Indiana National Guard Units, the commissioned core of the public health service, and any other service designated by the President of the United States in time of war or emergency.

An employee on leave under this provision shall suffer no loss of seniority or benefits during the fifteen day leave period. An employee on military leave for a period in excess of fifteen calendar days in one calendar year shall receive all benefits provided under the Uniform Services and Reemployment Act of 1994 (38 U.S.C. Chapter 43).

Employees absent from their respective positions because of service in the uniformed services are, if honorably discharged, entitled to reinstatement, provided that the period of absence does not exceed five (5) years. If an absence exceeds five (5) years, reinstatement shall be available only under the exceptions set forth in 38 U.S.C. §4312(c). An employee is entitled to reinstatement only if the employee had, prior to the time of commencing uniformed service, given notice to the Board of the anticipated service, and has at the conclusion of the military service reported for work, or made application for reinstatement as follows:

- (1) if uniformed service is for thirty (30) days or less the employee must report for work by the next regularly scheduled workday after allowing eight (8) hours for travel;
- (2) if uniformed service is for more than thirty (30) days but less than 181 days, the employee must submit an application for reinstatement not later than 14 days after completion of uniformed service;
- (3) if uniformed service is for more than 180 days, the employee must submit an application for reinstatement within the ninety (90) day period following completion of uniformed service.

Exceptions to these reinstatement time periods will be made when, because of a disability or hospitalization caused by uniformed service, or because of events beyond the control of the employee, the employee was unable to report or make application within the prescribed period of time.

Reinstatement shall be to the position last held by the employee, unless such position no longer exists, or the requirements of such position has so substantially changed that reasonable training will not qualify the employee for such position. In such circumstances, reinstatement shall be to a position similar in pay and duties. Reinstatement shall not be available, if during the period of military service, the employee would have been laid off from such position had the employee remained in public employment, and recall has not yet occurred.

An employee reinstated pursuant to these provisions shall be entitled to placement on the salary schedule at the level the employee would have attained had the employee not been absent for uniformed service. Reinstated employees shall be entitled to benefit levels that

escalate with length of service as if there had been no absence for uniformed service.

Benefit accruals, such as vacation, sick leave, or holiday benefits, will be suspended during the leave and will resume upon the employee's return to active employment.

MILITARY RESERVE OR NATIONAL GUARD LEAVE OF ABSENCE

Employees who serve in U.S. military organizations groups may take the necessary time off without pay to fulfill this obligation, and will retain all of their legal rights for continued employment under existing laws. These employees may apply unused earned vacation time and personal time in excess of the fifteen (15) day allowance to the leave if they wish; however, they are not obliged to do so.

MILITARY FAMILY LEAVE *EFFECTIVE JULY 1, 2007*

Employees who are the spouse, parent, grandparent, or sibling of an individual who is called to full time active duty in the armed forces or the National Guard are eligible for up to ten (10) days of leave. To be eligible for this leave the employee must have been employed by the Utility Service Board for at least one year and have worked 1500 hours during this period.

Employees should notify their Superintendent, in writing, at least thirty (30) days in advance or as soon as orders are received. A copy of the orders must be given to the Superintendent. The leave may occur within thirty (30) days prior to active duty, during the period of active duty or within thirty (30) days after the conclusion of active duty.

Employees will be required to use any personal business days and/or vacation days before going to an unpaid status.

During the leave, the employee will retain all benefits. When the leave ends, the employee will be reinstated to the same position, if it is available, or to an equivalent position for which the employee is qualified.

If the employee is not receiving a check, the employee must pay the employee's portion of all benefits to the Clerk Treasurer in advance on or before the first day of each month.

Employees are expected to notify their Superintendent as soon as you are aware of the dates you will be on duty so that arrangements can be made for replacement during this absence. The employee must provide copies of the military orders at the time of notification.

JURY DUTY AND WITNESS DUTY

When an employee is required to serve as a juror, or is subpoenaed to serve as a witness on Utility Service Board business, time off with pay will be granted as follows;

- The employee must notify the Superintendent upon receipt of a summons.
- The employee must submit a document from the court showing the time spent and amount paid to Human Resources.
- The Utility Service Board will pay the difference between what the court pays and the employee's regular rate of pay.
- Verification of an employee being seated on a jury, being detained in a jury pool, or subpoenaed as witness may be required.

- An employee who is subpoenaed to serve as a witness for reasons not related to Utility Service Board business must use earned vacation or personal time.
- If the court dismisses the jury early, the employee is expected to return to work as soon as possible and complete a regular workday comprised of civic time and time on the job.
- Should the employee's work duties with the Utility Service Board be vital to its operation, the Utility Service Board may ask the court to excuse the employee from jury duty.

BEREAVEMENT LEAVE

In the event of a death of any certain relatives of a permanent employee, that employee will be allowed off with pay all of his regular working days, not actually worked, that fall within the following:

- Five (5) consecutive calendar days beginning with and including the day of death of the employee's spouse, parent, child, step child or step-parent.
- All regular work days not actually worked, not exceeding three (3), between and including the day of death and the day of the funeral, of the employee's brother, sister, step-brother, step-sister, half-brother, half-sister, grandchild, grandparent, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law or sister-in-law.
- One (1) day between the date of death and the day of the funeral in event of the death of the Employee's aunt or uncle.

WORKERS' COMPENSATION

Employees of the Utility Service Board are covered by Workers' Compensation insurance. This insurance provides an employee with compensation for illness, accidental injury, or death suffered in the course of or as a result of the employee's employment with the Utility Service Board in accordance with the applicable state laws.

All employees are eligible for benefits under Workers' Compensation insurance and coverage is effective on date of hire. Workers' Compensation benefits provide weekly payments based upon a statutorily specified amount of the employee's regular earnings as well as payments for medical and hospital expenses arising out of an occupational illness. All benefits are provided based on the policy in effect at the time of injury or illness. This policy is subject to any and all modifications dictated by Federal and State Workers' Compensation laws

All work related injuries or illness, no matter how slight, shall be reported immediately following the work-related injury or illness, to the employee's immediate supervisor. Within that same period of time medical consultation and drug testing as outlined in a separate procedural document (appendix A) is required if initial treatment indicated on State Form 34401 is **NOT** No Medical Treatment or Minor by Employer.

UNEMPLOYMENT COMPENSATION

Unemployment Compensation is another form of insurance, which is paid for entirely by the Utility Service Board. Unemployment compensation helps employees meet a loss of income resulting from unemployment beyond their control by paying certain benefits while they are out of work. This form of protection is in addition to group insurance, Social Security, and Workers' Compensation.

SECTION FIVE - STANDARDS OF CONDUCT

ETHICS AND CONDUCT

The successful operation and reputation of the Utility Service Board is built upon the principles of fair dealing and ethical conduct of our employees. Our reputation for integrity and excellence requires careful observance of the spirit and letter of all applicable laws and regulations, as well as a scrupulous regard for the highest standards of conduct and personal integrity.

The continued success of the Utility Service Board is dependent upon our citizen's trust and we are dedicated to preserving that trust. Employees owe a duty to the Utility Service Board, and its citizens to act in a way that will merit the continued trust and confidence of the public.

The Utility Service Board will comply with all applicable laws and regulations and expects its Superintendents and employees to conduct operations in accordance with the letter, spirit, and intent of all relevant laws and to refrain from any illegal, dishonest, or unethical conduct.

In general, the use of good judgment, based on high ethical principles, will guide you with respect to lines of acceptable conduct. If a situation arises where it is difficult to determine the proper course of action, the matter should be discussed openly with your Superintendent, and if necessary, with the Board for advice and consultation.

Compliance with this policy of operations ethics and conduct is the responsibility of every Utility Service Board employee. Disregarding or failing to comply with this standard of operations ethics and conduct could lead to disciplinary action, up to and including possible termination of employment.

WORKPLACE CONDUCT

The Utility Service Board strives to maintain a positive work environment where employees treat each other with respect and courtesy. Sometimes issues arise when employees are unaware that their behavior in the workplace may be disruptive or annoying to others. Many of these day-to-day issues can be addressed by politely talking with a co-worker to bring the perceived problem to the employee's attention. In most cases, common sense will dictate an appropriate resolution.

The Utility Service Board encourages all employees to keep an open mind and accept constructive feedback or a request to change behavior that may be affecting another employee's ability to concentrate and be productive.

PERSONAL CONDUCT

The Utility Service Board expects that all of its employees will conduct themselves with the pride and respect associated with their positions, fellow employees, citizens, and the Utility Service Board. Employees should always use good judgment and discretion in carrying out the Utility Service Board's business. Employees of the Utility Service Board should always use the highest standards of ethical conducts.

Improper conduct by and between employees and/or by and between employees and business associates on the Utility Service Board's premises or adversely affecting Utility Service Board work will not be tolerated. Employees demonstrating improper conduct will be subject to disciplinary action including termination of employment.

GRIEVANCE PROCEDURE

The Utility Service Board has an open door policy to ensure that the General Manager and all Superintendents are available to listen to employee complaints, questions, or suggestions at any time. The best solutions are those worked out between employees and their Superintendent. Occasions may exist, however, when an employee and a supervisor cannot resolve a problem or when the supervisor is part of the problem. When this occurs, this open door policy gives you the alternative of consulting higher levels of the Utility Service Board administration.

To facilitate certainty and uniformity under this policy, complaints must be brought to the appropriate supervisor or Superintendent's attention within two weeks of the incident or event-giving rise to the complaint. The procedure for resolving these timely complaints is outlined below:

- Step 1 - Meet with Supervisor - Employees are encouraged to meet with their supervisor to define and discuss any work related problems or complaints. We believe most problems can be resolved at the supervisory level. If the employee is dissatisfied with the supervisor's response or decision, or if the supervisor is the problem, the employee may present the problem/concern to the Superintendent. The employee and/or the supervisor/Superintendent may involve outside consultation.
- Step 2 - Meet with Superintendent - If the problem has not yet been resolved after Step 1, or if the problem is the supervisor, the employee may request a meeting with the Superintendent. This request must be in writing and include a written description of the employee's complaint, and, if applicable, the supervisor's response from step 1
- Step 3 – General Manager - If the employee is still dissatisfied after using the prior two steps, he/she may request a meeting with the General Manager. The General Manager will review all written communications generated pursuant to or during the prior steps. The General Manager will meet with all parties and work towards a reasonable solution.
- Step 4 – If the issue is not resolved by the General Manager, all information shall be forwarded to the Chairperson of the USB. The Chairperson shall appoint two USB members and the HR Director to hear any such grievance and gather facts and report back to the total USB Board. A vote of the USB Board shall be binding and final.

Not all complaints can be resolved to everyone's satisfaction. However, in each case, the reason for the decision will be clearly explained to the employee.

WORK RULES

It is the policy of the Utility Service Board to expect all employees to abide by certain work rules of general conduct and performance at all times. The regulations governing employee conduct and responsibilities have been established in the best interest of the Utility Service Board, its employees, and its citizens.

Accordingly, a violation of these regulations constitutes misconduct on the part of the employee and appropriate disciplinary action will be initiated. These rules are guidelines

only and not all-inclusive. Disciplinary action may include, but is not limited to, verbal reprimand, written notice, and suspension from work without pay, and immediate termination of employment.

The Superintendent/General Manager reserves the right to terminate or discipline any employee as the Utility Service Board in its discretion, considers necessary in individual circumstances.

EXAMPLES OF MISCONDUCT

The following are only examples of misconduct for which an employee may be subject to discipline and these examples do not constitute a complete list of the circumstances for which discipline will be warranted.

- Falsification of any records or reports pertaining to absence from work, claims pertaining to injuries occurring on Utility Service Board premises, claims for any benefits provided by the Utility Service Board, communications or records including personnel and production records.
- Restricting output, or persuading others to do so, or promoting, encouraging, agitating, engaging in or supporting suspension of work, slowdowns, or any other interruptions of production.
- Sabotage or subversive activity of any kind.
- Misuse or removal from the premises, without authorization, of any Utility Service Board property, or possession of any property removed from Utility Service Board premises without proper authorization.
- Bringing, using or having in possession weapons on Utility Service Board premises at any time.
- Bringing, using, having in possession, transporting, selling or promoting the use of alcohol, any intoxicant, any narcotic, any barbiturate, any amphetamine, any hallucinogen, or any other stimulating or depressing drug on Utility Service Board premises at any time.
- Striking or manhandling another person or fighting while on the Utility Service Board's premises at any time.
- Theft of any property on Utility Service Board premises, or theft of Utility Service Board property at any time.
- Willful abuse or deliberate destruction of Utility Service Board property, tools or equipment or of any property on Utility Service Board premises at any time.
- Altering or removing safety devices from equipment.
- Gross insubordination - a willful and deliberate refusal to follow reasonable orders given by a Superintendent.
- Violation of the Utility Service Board's Equal Employment Opportunity Policy or Harassment Policy.
- Altering any employee time card regardless of whether it is the employee's own card or that of another employee.
- Intentionally punching the time card of another employee or having another employee punch their time card.
- Conviction of any offense by a court of law which in the Superintendent's judgment would make that employee undesirable for association with the Utility Service Board and its other employees.
- Reporting for work under the influence of or when suffering from a hangover from

alcohol, any intoxicant, any narcotic, any barbiturate, any amphetamine, any hallucinogen, or any other stimulating or depressing drug.

- Threatening, intimidating, coercing or interfering with any person on Utility Service Board premises at any time
- Sleeping on Utility Service Board time.
- Altering, defacing or removing governmental or Utility Service Board notices and bulletins that are posted on the Utility Service Board bulletin board.
- Gaining unauthorized access to Utility Service Board records and files whether they are locked or otherwise.
- Handling or operating machines, tools or equipment, which do not come within the employee's authority. Careless or negligent use or operation of Utility Service Board tools or equipment.
- Failure to immediately report any injury or accident to the Superintendent resulting from an on-the-job situation.
- Performing substandard work both in quality and quantity after having been instructed in proper procedure and technique.
- Unauthorized leave from the work area during work schedule exceeding the time allowed for scheduled break or lunch period.
- Unauthorized manufacture of products for personal use (including sale or gifts).
- Unauthorized distribution of literature in the work area or posting on Utility Service Board property.
- Punching in more than five (5) minutes prior to the start of the employee's shift or punching out more than five (5) minutes following the conclusion of their shift without authorized permission.
- Engaging in horseplay, practical jokes, gambling, selling merchandise, solicitation or general loitering while on Utility Service Board. This applies to non-shift time as well as shift time.
- Having non-employees on Utility Service Board property at any time without authorized permission.
- Using profane language on Utility Service Board property, which in the Superintendent's opinion is offensive to citizens and to other employees.
- Writing out one's own purchase ticket.
- Driving Utility Service Board vehicles without a current and appropriate license.
- Discussing confidential Utility Service Board information with citizens.
- Any actions that may cause an unsafe workplace.

ATTENDANCE

Regular and on-time attendance is expected and essential for efficient operations at the Utility Service Board. Excessive absenteeism and tardiness is not only inconvenient but also causes costly problems. While it is recognized that an occasional illness or extenuating personal reason may cause unavoidable absence from work or tardiness, regular on-time attendance is required for continued employment.

Employees are expected to personally contact the Superintendent directly to report any absence or lateness prior to their starting time so that arrangements may be made to alter the distribution of work if necessary. Nothing in this policy is intended to alter any employee rights under FMLA.

Any employee who fails to maintain an acceptable attendance record will be subject to disciplinary action. Unexcused absence or tardiness will affect future promotions and/or raises. Tardiness applies to returning from lunch and/or break periods as well as the

beginning of the workday.

If an employee is absent from work for three (3) consecutive days without informing their Supervisor or the Superintendent, it will be understood that the employee resigned and employment will be terminated as of the last day worked by the employee. Refer to FMLA.

Definitions: **Unscheduled occurrences** – An unscheduled occurrence is a full day absence that is not approved in advance by the Department Head or designee.

To allow employees a reasonable amount of absences, the Frankfort Utilities will use the following no-fault attendance system.

1. Each time an employee cannot report to his/her scheduled shift, he/she must contact their supervisor or the supervisor's designee to inform them of such. Notification of absence does not excuse any absence. Employees who fail to make notification of absence at the beginning of their shift may receive a disciplinary action. Three consecutive absences without notification will be considered a voluntary termination.
2. Each time an employee cannot report to work at their designated start time, but will report to work after that designated start time, he/she must notify their supervisor and/or designee of their tardiness and their estimated arrival time.
3. Every employee is expected to arrive and be ready to begin their workday at the start of their shift as predetermined by the department head. Failure to be on time and ready to begin the work day may result in disciplinary action.
4. The need to begin absence control begins at two (2) unscheduled occurrences within a 12 month period. Multiple days of continuous absence are counted as one occurrence. Occurrences of absence are separated by a return to work. The twelve-month period will begin with the date of the first absence.
5. An unscheduled absence is defined as failure to prearrange an absence with the department head or their designee. Acceptable timeline for the prearrangement will be established by the department head.
6. Excessive tardiness will be determined by the department head. Vacation time, Personal time or other time will not be utilized to cover periods of tardiness. It will be at the discretion of the department head or designee to allow make up time or to dock the employee's pay for the tardiness.
7. Employees absent three or more consecutive days due to illness may be required to submit a physician's statement indicating they are able to return to work. A physician's statement does not excuse any occurrence of absence, but serves to prevent fraudulent extended occurrences of absence. (Example: If an employee is off work for four (4) consecutive days because of the flu and has notified their supervisor accordingly and supplies a physician's statement, this absence will count as one (1) occurrence.)
8. The following absences, with proper notification, are excluded from this policy:
 - a. Absences covered by the Frankfort Utilities' Bereavement policy. The Frankfort Utilities will evaluate on a case-by-case basis the circumstances of other relatives.
 - b. Off work due to a work-related injury with medical verification that the employee is unable to work.

- c. Off work because of an inclement weather day as declared by the Mayor or his/her designee.
 - d. Off work due to jury duty, military leave, medical leave, family leave, subpoenas, or any other absence expressly authorized by the Frankfort Utilities or the law.
8. Upon the twelve-month anniversary of an occurrence of absence, it will no longer be considered in the disciplinary procedure.
 9. Following are descriptions of disciplinary actions that may result from any misconduct or unexcused absence or tardiness that occurs.

Third Occurrence	Verbal reprimand with written documentation to file
Fourth Occurrence	Written notice (copy to employee's file)
Fifth Occurrence	Suspension for three (3) working days without pay with the General Managers review
Sixth Offense	Subject to termination after the HR/General Managers review and USB approval

10. Leaving work after reporting without prior arrangement is considered absence regardless of cause. Such absences will be dealt with by the Department Head. Prearrangement of time off should be completed so the department head and/or supervisor may include such on the departmental schedule. Notification for time off shall be made prior to end of shift the day prior to be considered scheduled or a predetermined time established by the department head.
11. If it becomes apparent that an employee has established a pattern of excessive absenteeism and or tardiness, and there is no improvement on the employee's part to correct this problem, then the supervisor may initiate a formal notice of disciplinary action against the employee to be reviewed by the Director of Human Resources.
12. Supervisors will maintain a current attendance log for each employee containing accurate documentation of absences and tardiness.

The Director of Human Resources in consultation and with the recommendation of the General Manager of Frankfort Utilities may make an exception only in extreme cases involving absence that cannot be excluded by a leave of absence.

The Board recognizes that there are certain types of employee problems that are serious enough to justify either a suspension, or, in extreme situations, termination of employment, without going through the usual progressive discipline steps. Such action is within the discretion of Superintendent with prior approval of the USB.

PERSONAL APPEARANCE

Every employee of the Utility Service Board contributes to the Utility Service Board's overall public image during working hours. Appropriate attire enhances an employee's effectiveness in providing superior service. Each employee personally represents the Utility Service Board and is required to dress in a manner appropriate with prevailing business style. Since the Utility Service Board provides a uniform for certain job functions, it is required that those uniforms be worn. Each department of the Utility Service Board will identify the appropriate clothing to be worn by the respective department employee, and

the individual department's standard will prevail.

PERSONAL BELONGINGS

The Utility Service Board recognizes an employee's desire to display mementos pertaining to the employee's family or other personal items. While the City of Frankfort can take no responsibility for the safekeeping of these items, it welcomes its employees to personalize their work areas for added comfort or pleasantness.

USE OF NICOTINE /TOBACCO

The Utility Service Board is dedicated to providing a healthy, comfortable and productive work environment for our employees. This goal can only be achieved through ongoing efforts to protect non-smokers and to help employees adjust to restrictions on smoking and the use of tobacco. Therefore, smoking and the use of all forms of tobacco is prohibited inside the Utility Service Board facilities. No employee shall use any tobacco product while working in the presence of citizens, in City/Utility Buildings, or in City/Utility Vehicles. This includes any forms of tobacco, or the use of e-cigarettes and any similar products.

Superintendents may designate smoking areas for their employees.

The success of this policy will depend upon the thoughtfulness, consideration and cooperation of smokers and non-smokers. All employees share in the responsibility of adhering to and enforcing this policy. Any conflict should be brought to the attention of the Superintendent.

SAFETY

It is the policy of the Utility Service Board to conduct our business and operate our facilities in a manner that will protect the health and safety of our employees and the public. We will provide the leadership, resources, and training necessary to eliminate or reduce the exposure of employees to conditions adversely affecting their safety or health on the job. We will encourage off-the-job employee safety and health.

1. All Superintendents are directly responsible for the development and implementation of programs and procedures to ensure safety and to create an environment that encourages and supports employee involvement.
2. Safety depends upon active participation by everyone. Employees must understand that they are responsible for their behavior and for prevention of injuries on and off the job.
3. No job is so important and no service so urgent that employees cannot take time to perform work safely.
4. Unsafe acts, unsafe conditions, accidents, and injuries are all preventable and therefore, with effort, can be minimized.
5. The Superintendent will measure the success of our safety efforts and strive for continuous improvement.

The Utility Service Board is committed to the safety of its employees and its property and

equipment. To this end, we will utilize a safety program in our daily activities. Any employee who disregards any Utility Service Board safety rule and/or regulation is subject to disciplinary action including termination of employment.

It is necessary that the Utility Service Board establish safety rules and regulations to be observed by all employees at all times. With regard to these rules, the following will be considered standard procedure for all employees.

1. Should a safety regulation be modified so that an employee's safety is something less than it should be the employee should inform their Superintendent.
2. All questions concerning the reason for doing something in a certain manner may be asked of any Superintendent at any time.

Employees' decisions should always be guided by the Utility Service Board's commitment to safety. Should a hazardous situation or condition exist and a decision has to be made on safety or production, safety concerns should always take precedence over production.

The Utility Service Board has established a Safety Committee. The purpose of the Safety Committee is to bring employees together in a cooperative effort to promote safety and health in the workplace while continually improving our safety culture. The following are the duties and responsibilities of the Safety Committee:

- Attend all committee meetings.
- Promote health and safety at all times.
- Act as a sounding board on health and safety issues.
- Provide feedback.
- Promote and monitor compliance with health and safety regulations.
- Attempt to raise health and safety standards above legal requirements.
- Assist in training fellow employees.
- Participate in the identification and control of physical hazards.
- Make health and safety recommendations.
- Advise on personal protective equipment.
- Assist in the development of health and safety rules.
- Assist in the development of safe work procedures.
- Monitor accident experience.

It is the Superintendent's/General Manager's responsibility to see that every employee at the Utility Service Board is provided with safe working conditions. All safety regulations must be observed, and employees must use good common sense to protect themselves as well as others. The Superintendent will periodically inspect working conditions and may suspend all work activity until an unsafe condition is corrected.

The most important part of safety is the employee. It is each employee's responsibility to abide by the safety rules - these rules are made for your protection. Report any personal injury IMMEDIATELY, however minor, to your immediate supervisor. The Superintendent must also be notified as soon as possible following the occurrence of the injury. Report all dangerous conditions and practices to the Superintendent and/or Utility Service Board.

SAFETY EQUIPMENT

Employees will be provided with safety equipment if it is a requirement for a particular job. The Utility Service Board will furnish all necessary tools and equipment to complete job assignments. Each employee is reminded that all items purchased by the Utility Service Board are the property of the Utility Service Board. It is the responsibility of the employee to whom tools and equipment are assigned to maintain and safeguard these assets.

An inventory of tools and equipment will be made periodically. If it is determined that an employee is negligent in the proper storage of tools, materials, or supplies or they are misplaced or stolen, the employee will be asked to replace same at fair market value or the cost of the item will be deducted from the employee's paycheck. When leaving a work area, it is required that all tools be removed from the work area and secured in locked storage where available or placed back in designated storage areas.

USE OF VEHICLES AND EQUIPMENT

Utility Service Board vehicles and equipment are to be used for Utility Service Board purposes only. Utility Service Board owned vehicles must be driven only by the employee. No other family member or individual is permitted to drive or use the vehicle.

All vehicles will be stored on Utility Service Board property when not being used for Utility Service Board business, except when convenience and cost savings override. Some Utility Service Board employees have use of Utility Service Board vehicles to drive to and from work. A log must be kept by the employee of all personal miles driven and these miles must be reported to the Superintendent on a regular basis.

Employees who drive Utility Service Board vehicles for personal use will be assessed the rightful amounts to meet IRS rules and charged for proper expenses.

Employees who are involved in an accident while operating any Board-owned vehicle that results in a death, bodily injury requiring medical treatment away from the scene of the accident, or significant property damage will be required to take a drug and alcohol test immediately following the incident.

The following are specific policies related to Utility Service Board-owned vehicles:

- Daily logs must be kept for all personal mileage driven.
- Utility Service Board-owned vehicles will be driven only as needed for jobs during working hours.
- Utility Service Board-owned vehicles will be driven only for transportation to and from destinations as specified.
- Vehicles driven out-of-state must be approved prior to use.
- Utility Service Board-owned vehicles will not be driven for private use unless specific financial arrangements have been made.
- Only the driver assigned to the vehicle will sign for gasoline, oil, etc.
- All charge tickets must show the name and address of the vendor, prices, gallons, vehicle ID number, license tag number and mileage.
- No alcoholic beverages or illegal drugs or chemicals will be aboard a Utility Service Board vehicle at any time.
- No one, other than an authorized Utility Service Board employee, is permitted to operate a Utility Service Board-owned vehicle.
- Vehicles will be kept clean at all times and thoroughly washed when needed.

- Vehicles will be properly maintained according to the manufacturers or departmental schedule.

PERSONAL VEHICLES

Employees may use their personal vehicles on official Utility Service Board business provided prior approval has been obtained from the Superintendent. A mileage rate based on an ordinance passed by the Utility Service Board will be paid to employees who use their personal vehicles on official Utility Service Board business. Minimum insurance requirements as specified by the Utility Service Board's insurance carrier must be in effect at the time the employee's personal vehicle is used and the employee may be required to provide the appropriate proof of insurance.

NO SOLICITATION

In an effort to assure a productive and harmonious work environment, persons not employed by the Utility Service Board may not solicit or distribute literature in the workplace at any time for any purpose.

The Utility Service Board recognizes that employees may have interests in events and organizations outside the workplace. However, employees may not solicit or distribute literature concerning these activities during working time. Working time does not include lunch periods, work breaks, or any other periods in which employees are not on duty.

If employees have a message of interest to the workplace they may submit it to the Utility Service Board for approval. The Board will post all approved messages

Off-duty employees should not visit any working area during their off-duty hours (except that an employee may report for work a reasonable time in advance of the start of the employee's scheduled work time).

Non-employees are prohibited from soliciting or distributing any written or printed material of any kind for any purpose on the Utility Service Board premises at any time. Do not invite or encourage any non-employee to violate this rule.

SECURITY

All doors, files, desk, gates, and other equipment with locks must be kept locked securely when not in direct use and at the end of each day. Locks should be checked regularly. Utility Service Board vehicles should be kept locked at all times when not in use. Lost keys must be reported to the Superintendent immediately. Any concerns about security should be directed to the Utility Service Board.

USE OF TELEPHONES

Utility Service Board telephone communications are an important reflection of our image to citizens and the community. Always use proper etiquette when using the telephones. During working hours, employees should refrain from making or receiving personal telephone calls except for emergencies.

The Utility Service Board provides cell phones to some employees for business use. Cell phone bills may be checked to make sure this policy is being followed. Employees who make personal calls on Utility Service Board business phones will be required to pay for any

charges.

INTERNET USAGE

The Utility Service Board may provide employees with Internet access to help with their job. This policy explains the Board's guidelines for using the Internet. Internet usage is intended for job-related activities.

All Internet data that is written, sent, or received through our computer systems is part of official Utility Service Board records. That means that the Board can be legally required to show that information to law enforcement or other parties. Therefore, employees should always make sure that the business information contained in Internet email messages and other transmissions are accurate, appropriate, ethical, and legal.

The equipment, services, and technology that you use to access the Internet are the property of the Utility Service Board. Therefore, the Board reserves the right to monitor the use the Internet.

The Board also reserves the right to find and read any data that is written, sent or received through our online connections or is stored in the computer systems. Employees may not write, send, read, or receive data through the Internet that contains content that could be considered discriminatory, offensive, obscene, threatening, harassing, intimidating, or disruptive to any employee or other person.

Examples of unacceptable content include (but are not limited to) sexual comments or images, racial slurs, gender-specific comments, or other comments or images that could reasonably offend someone on the basis of race, age, sex, religious or political beliefs, national origin, disability, sexual orientation, or any other characteristic protected by law.

Computer viruses pose a serious threat to the integrity of the Board's computer software and electronic files. Strict precautions must be observed, including:

- Only software obtained from or approved by the Board's IT Administrator may be used.
- Each new piece of software shall be tested for virus contamination at installation and periodically thereafter. The Board's IT Administrator will assist all departments with virus detection procedures.
- All signs or suspicions of virus contamination shall be immediately reported to the Board's IT Administrator to isolate and control any contamination.

No employee-owned or non-Board purchased software is to be installed on Board-owned equipment, whether intended for legitimate business matters or for personal purposes or amusement. At no time should a new Board software program be loaded on the Board's network, file server, or on an individual computer without the prior approval of the Board's IT Administrator. Any new programs that are loaded and detected without such approval may be deleted without prior notice

The Utility Service Board does not allow the unauthorized use, installation, copying, or distribution of copyrighted, trademarked, or patented material on the Internet.

Employees who use the Internet in a way that violates the law or the Utility Service Board policies will be subject to disciplinary action, up to and including termination of employment. Employees may also be held personally liable for violating this policy.

The following are some examples of prohibited activities that violate this Internet policy:

- Sending or posting discriminatory, harassing, or threatening messages or images
- Using the organization's time and resources for personal gain
- Stealing, using, or disclosing someone else's code or password without authorization
- Copying, pirating, or downloading software and electronic files without permission
- Sending or posting confidential material, trade secrets, or proprietary information
- Violating copyright law
- Failing to observe licensing agreements
- Engaging in unauthorized transactions that may incur a cost to the organization or initiate unwanted Internet services and transmissions
- Sending or posting messages or material that could damage the organization's image or reputation
- Participating in the viewing or exchange of pornography or obscene materials
- Sending or posting messages that defame or slander other individuals
- Attempting to break into the computer system of another organization or person
- Refusing to cooperate with a security investigation
- Sending or posting chain letters, solicitations, or advertisements not related to business purposes or activities
- Using the Internet for political causes or activities, religious activities, or any sort of gambling
- Jeopardizing the security of the organization's electronic communications systems
- Sending or posting messages that disparage another organization's products or services
- Passing off personal views as representing those of the organization
- Sending anonymous email messages
- Engaging in any other illegal activities

CONFLICTS OF INTEREST

Employees shall avoid outside employment, activities, investments, and other interests that involve obligations, which may compete with or be in conflict with the interest of the Utility Service Board. A conflict of interest can arise in dealings with anyone that the Utility Service Board transacts business; i.e., citizens, owners, buyers, suppliers, banks, insurance companies, and people in other organizations with whom we contact and make agreements.

It is the objective of the Utility Service Board to maintain an organization guided and governed by the highest standards of conduct and ethics. The reputation of the Utility Service Board is a direct reflection of the business conduct of all who work for it.

To protect and enhance our reputation, The Utility Service Board requires that all employees be guided by the highest standard of conduct in their business contacts and relationships. The following examples have been deemed to involve a conflict of interest, which violates the Utility Service Board policy:

1. Serving as an employee, officer, director, or consultant of a customer, client, or supplier of materials or services to the Utility Service Board.
2. Holding by an employee or an immediate family member of an employee (including

father, mother, brother, sister, son, daughter, husband, or wife) any financial interest in the business of any customer, client, supplier of materials or services, or competitor of the Utility Service Board. This does not include a financial interest in widely held corporations that are quoted and sold on the open market, unless the amount held is in excess of 10 percent of the outstanding stock of the corporation or the stock held has a value representing more than 10 percent of the individual's personal net worth.

3. Borrowing money from or lending money to any customer, client, supplier of materials or services to the Utility Service Board other than recognized financial institutions, i.e., banks, credit unions, etc.
4. Accepting gifts, entertainment, or anything of value from any customer, client, supplier of materials or services to the Utility Service Board, other than minor Christmas or holiday gifts, occasional meals, and entertainment of a nominal nature, or earned incentives.

It is important to avoid not only any situation that is an obvious conflict of interest such as those listed above, but also any situation that might give the appearance of being a conflict of interest. If you have any questions concerning this subject, please contact the Utility Service Board.

CONFIDENTIAL RECORDS

The Utility Service Board requires that a code of confidentiality of information be maintained. No employee will store information outside of the Utility Service Board (either in written or electronic form) about any matter pertaining to the conduct of the Utility Service Board's business. No information regarding purchase prices of the Utility Service Board shall be given to any citizen or vendor prior to any action taken by the Board.

EMPLOYEE SUGGESTIONS

The Utility Service Board welcomes your ideas and suggestions. Sometimes the most unusual or simplest suggestion is an excellent cost-saving idea. Anything that will help do a job better, improve working conditions, provide better public or customer relations, eliminate unnecessary expense, or increase earnings will receive thorough consideration. Please give any suggestion to your supervisor, or if you prefer, to the Utility Service Board. Although not all ideas can be adopted, every effort will be made to adopt or utilize any practical suggestion.

ANTI - HARASSMENT

Consistent with the Utility Service Board policy of equal employment opportunity, sexual and other unlawful harassment in the workplace based on a person's race, sex, religion, national origin, age, height, weight, marital status or disability will not be tolerated concerning employees or applicants for employment. One aspect of our equal employment opportunity policy is the prohibition of any form of sexual harassment in the workplace. The following describes the type of conduct that is prohibited as well as the complaint provisions to investigate and remedy any problems that may arise.

Sexual harassment includes unwelcome sexual advances, requests for sexual favors, and other verbal, visual or physical conduct of a sexual nature. No employee shall threaten or insinuate, either explicitly or implicitly, that another employee's or applicant's refusal to submit to sexual advances will adversely affect that person's employment, work status

evaluation, wages, advancement, assigned duties, or any other condition of employment or career development. Similarly, no employee shall promise, imply or grant any preferential treatment in connection with another employee or applicant engaging in sexual conduct.

Sexual harassment also includes unwelcome sexual flirtations, advances or propositions, verbal abuse of a sexual nature, subtle pressure or requests for sexual activities, unnecessary touching of an individual, graphic or verbal commentaries about an individual's body, sexually degrading words used to describe an individual, a display of sexually suggestive objects or pictures in the workplace, sexually explicit or offensive jokes, or physical assault.

Any employee who feels that they are a victim of sexual or other unlawful harassment, including but not limited to, any of the conduct listed previously, by any supervisor, the Superintendent official, other employee, customer, or any other person in connection with employment at the City of Frankfort should bring the matter to the immediate attention of their Superintendent, the Utility Service Board.

After an investigation, any employee determined to have engaged in sexual or other unlawful harassment in violation of this policy will be subject to appropriate disciplinary action up to and including termination of employment.

VISITORS IN THE WORKPLACE

Only visitors who are properly authorized may be on Utility Service Board property. This helps to maintain safety standards, safeguard employee and customer welfare, protect our property and facilities, guard confidential information against theft, and reduce potential distractions and disturbances.

All visitors should enter the Utility Service Board facilities at the main entrance and sign-in if they intend to conduct business or visit with an employee on the premises. If you have visitors, you are responsible for their conduct and to watch out for their safety.

If you see an unauthorized person at work, notify the Superintendent immediately or direct the person to the main entrance.

WORKPLACE VIOLENCE

The Utility Service Board is committed to preventing workplace violence and to maintaining a safe work environment. Given the increasing violence in society in general, the Utility Service Board has adopted the following guidelines to deal with intimidation, harassment, or other threats of (or actual) violence that may occur during business hours or on its premises.

All employees should be treated with courtesy and respect at all times. Employees are expected to refrain from fighting, "horseplay," or other conduct that may be dangerous to others. Un-authorized firearms, weapons, and other dangerous or hazardous devices or substances are prohibited from the premises of the Utility Service Board without expressed authorization from the Utility Service Board.

Conduct that threatens, intimidates, or coerces another employee, a customer, or a member of the public at any time, including off-duty periods, will not be tolerated. This prohibition includes all acts of harassment, including harassment that is based on an individual's sex, race, age, or any characteristic protected by federal, state, or local law.

All threats of (or actual) violence, both direct and indirect, should be reported as soon as possible to your Superintendent. This includes threats by employees, as well as threats by citizens, vendors, solicitors, or other members of the public. When reporting a threat of violence, you should be as specific and detailed as possible.

All suspicious individuals or activities should also be reported as soon as possible to a Superintendent and/or General Manager. Do not place yourself in peril. If you see or hear a commotion or disturbance near your workstation, do not try to intercede or see what is happening.

The Utility Service Board will promptly and thoroughly investigate all reports of violence, or threats of violence, and of suspicious individuals or activities. The identity of the individual making a report will be protected as much as is practical. In order to maintain workplace safety and the integrity of its investigation, the Utility Service Board may suspend employees, either with or without pay, pending investigation.

Anyone determined to be responsible for violence, or threats of violence or other conduct that is in violation of these guidelines will be subject to prompt disciplinary action up to and including termination of employment.

The Utility Service Board encourages employees to bring their disputes or differences with other employees to the attention of their Superintendent or the Board before the situation escalates into potential violence. The Utility Service Board will assist in the resolution of employee disputes, and will not discipline employees for raising such concerns.

WORKPLACE MONITORING

The Utility Service Board may conduct workplace monitoring to help ensure quality control, employee safety, security, and customer satisfaction.

You may ask to see information about you that was gathered by workplace monitoring if it might impact employment decisions. We will give you access unless there is an ongoing investigation or a legitimate business reason to protect confidentiality.

The Utility Service Board prohibits videotaping, or photographing in the workplace, or of the workplace by employees, citizens, visitors, or a passerby without the prior approval from a member of the Utility Service Board the Superintendent staff.

Because we are sensitive to employees' legitimate privacy rights, we will make every effort to guarantee that workplace monitoring is always done ethically and with respect.

ALCOHOL AND DRUG ABUSE POLICY

The Utility Service Board has a strong commitment to provide a safe workplace for its employees and to establish programs which promote a high standard of employee health. Consistent with that commitment, the Board has developed a Drug and Alcohol Testing Policy. The Board's goal is to establish and maintain a work environment that is free from the adverse effects of drug and alcohol abuse.

It is not the intent of the Utility Service Board to intrude into the private lives of our employees, but we do expect employees to report for work in a condition that enables them

to perform their duties without injury to themselves, their fellow employees, or utility property. An employee's involvement with drugs or alcohol off-the-job can have a negative input on his or her job performance.

When the use of alcohol or other drugs interferes with the Board's expectations that employees will be in a suitable mental and physical condition while at work and perform their job satisfactorily and behave appropriately, an employee's failure to meet these basic expectations will result in disciplinary action up to and including termination.

Employees who request assistance in dealing with a personal drug or alcohol problem will receive help from the Utility Service Board so long as the offense is on a first time basis only, and the employee agrees to stop any and all involvement with drugs and alcohol. The Utility Service Board will have the right to refer the employee to an appropriate treatment resource that can best help the employee with their problem. However, by volunteering for help an employee cannot avoid disciplinary action for a violation of the policy that has already occurred. At the same time, such voluntary action will be taken into consideration.

Objectives

- To provide for consistent and documented practices and procedures for pre-employment and employee drug screen tests.
- To define circumstances when the Utility Service Board may require current employees to submit to drug screen tests.
- To define actions which may be taken against an employee when a positive drug screen test (or a test which is dilute or adulterated or in some other manner invalid) is reported or when an employee is otherwise found to have used, possessed or transferred drugs.

Application of Policy

This policy applies to all employees of the City of Frankfort Utility Service Board. The use, possession, sale, purchase or transfer of unauthorized or illegal drugs or substances or the abuse of legal drugs on the City of Frankfort or Utility Service Board property, while on utility business, or while operating city or utility vehicles and equipment, is prohibited. Drinking alcoholic beverages during working hours or having any measurable amount of alcohol in an employee's system during working hours is prohibited, whether on or off city or utility property.

Working hours include all breaks. Off-duty use of drugs and alcohol is prohibited to the extent it affects an employee's attendance or performance and his or her ability to pass required alcohol and controlled substance tests. Any violation of this policy is grounds for termination as an employee of the City of Frankfort Utility Service Board and may subject the employee to possible legal prosecution.

Physician-prescribed drugs can affect behavior and performance; thus, employees are encouraged to advise their supervisor whenever they are taking drugs for medical reasons. When such use of drugs adversely affects job performance or safety, it is in the best interest of the employee, co-workers and the Board that the employee takes sick days, or, if necessary, unpaid leave, within the Utility Service Board's leave policy.

The City of Frankfort Utility Service Board reserves the right to terminate any employee who violates this policy. Employees who are convicted for drug-related charges may be subject to Board disciplinary action, up to and including termination.

The Board may offer the employee at the employee's expense the opportunity to receive appropriate treatment. Any information concerning an employee's drug or alcohol abuse will be available only to administrators of the Utility Service Board who should be aware of this information. Unless otherwise required by law, this information will not be disclosed by the Board to any other employer, organization, or individual without the employee's written consent.

TESTING POLICY

Persons Subject to the Testing Policy

1. All applicants for employments (pre-employment testing)
2. All employees of the Utility Service Board (random testing)
3. Any other employee who, in the judgment of management, is under the influence of alcohol or drugs while at work or whose job performance is being adversely affected by the suspected use/abuse of drugs or alcohol (reasonable suspicion testing).
4. Both drug and alcohol testing will be performed following any accident or incident where an employee or other person involved in the accident or incident suffers an injury which requires medical attention, or one in which an employee driver receives a citation or in which there is a fatality or in which an injured person is treated away from the scene, or in which a vehicle is required to be towed from the scene, or in which damage was done to property, equipment, or vehicles (post-accident testing).

Consequence of Positive Test

An employee testing positive for alcohol or for a controlled substance shall be prohibited from continuing his or her employment for at least twenty-four (24) hours after the positive test, or until the employee's next regularly scheduled duty period, whichever is later. Employees testing positive are subject to discipline, including discharge.

Changes or Modifications

The Board reserves the right to change or amend the provisions of this policy of testing and will notify employees of such change.

This is a summary of the policy of drug and alcohol abuse for the City of Frankfort Utility Service Board and its employees and is written for guideline purposes. Interpretation of this policy and its application shall be by the Utility Service Board.

Federal Requirements Pursuant to 41 U.S.C. 701

Each employee is hereby notified that the unlawful manufacture, distribution, dispensation, possession or use of a controlled substance is prohibited in the workplace and

subject to punishment, including discharge. Further, any employee who violates any federal or state criminal drug law shall notify his or her Superintendent or the Utility Service Board within five (5) days of any such conviction.

TESTING PROCEDURES

The Utility Service Board is concerned with the public's safety and the workplace safety of its employees. The Alcohol and Drug Abuse Policy is designed to insure that the employees are fit to perform their job functions. Drug abuse impedes job performance and jeopardizes the employee's ability to meet this responsibility.

The Board recognizes that the state of an employee's health affects job performance and the quality of the work performed, and the Board also recognizes that alcohol and drug abuse ranks as a major health problem. Therefore, the Board has instituted a drug abuse policy that provides guidelines to employees regarding drug abuse and promotes safety for all employees. To ensure that employees are not under the influence of any controlled substance or alcohol, the Utility Service Board has implemented these procedures to support its policy on controlled substances and alcohol.

Drug Testing Situations

A. Pre-employment. The Board's offer to hire any employee will be conditioned upon the employee's successful completion of a drug and alcohol test. The testing will occur before an employee is officially hired. Any individual who refuses to submit to such test, or who has a positive controlled substance test result, as defined by federal regulations or by this policy, will not be considered for employment with the Utility Service Board.

B. Random Testing. Drug and alcohol testing will be conducted on a random unannounced basis. All employees will have the same chance of being selected for each random drug testing event. Once notified of selection for drug testing, the selected employees must proceed directly to the collection/testing site. Employees will be selected for random testing by an anonymous, objective selection criteria (a computer-based random number generator), and all covered employees will have an equal chance of being selected for each testing date. All employees selected for random test will remain subject to future random tests. The dates for testing will not be announced. Following selection for a test, the tested employees will remain in the pool for the next testing date.

C. Post-Accident. Employees will be required to submit to a drug and alcohol test as soon as possible following any incident involving injury or death, property damage, the citation of an employee under state or local law for a moving traffic violation arising from the incident, or any incident in which an employee's involvement or actions could have caused or contributed to the cause of the incident or accident.

Following any such incident or accident, the employee subject to post-accident testing shall remain readily available for alcohol and drug testing and shall comply with all reasonable requests for drug and alcohol testing by the employee's

supervisor or Board member. Leaving the accident scene without permission could be deemed by the Board to constitute a refusal to subject to the testing.

Nothing in this section shall be construed to require the delay of necessary medical treat or to prohibit the employee from leaving the scene of an accident for a period necessary to obtain assistance in responding to the accident or to obtain necessary medical care.

No employee required to take a post-accident alcohol test shall use alcohol for eight hours following the accident, or until the driver undergoes a post-accident alcohol test, whichever occurs first.

If the employee is seriously injured and cannot submit to testing at the time of the accident, the employee shall provide the necessary authorization for the Board to obtain hospital reports and other documents that would indicate whether there were any drugs or alcohol present in the employee's bodily systems.

The results of a breath or blood test for the use of alcohol, or a urine test for the use of drugs, conducted by federal, state or local officials having independent authority for the test, or conducted by local medical personnel, shall be considered to meet the requirement for post-accident testing if the results are provided to the Utility Service Board.

Required Actions for Post-Accident Testing Situation:

1. Treat injuries.
2. Work with law enforcement.
3. Explain the need for testing.
4. Work with medical facility.
5. Collect specimens promptly.
6. Document events.

D. Reasonable Suspicion. Drug and alcohol testing will be conducted any time a trained supervisor observes behavior or appearance that is characteristic of drug or alcohol use. Reasonable suspicion may be based upon, but is not limited to, substantiated reports that the employee used, or is under the influence of alcohol or drugs during work, odors of drugs, unusual behavior, speech, or appearance, or possession of paraphernalia used in connection with drug or substance use. Reasonable suspicion is defined for the purposes of this policy as follows:

The Utility Service Board, acting through its employees and agents, believes the behavior, speech, body odor, or appearance of an employee while on duty are indicative of the use of alcohol and/or a controlled substance.

Alcohol testing is authorized only if the observations are made during, just before, or just after the period of the work day of the employee. A written record shall be made of the observations leading to a reasonable suspicion alcohol and/or controlled substance test. This record shall be signed by the Superintendent or supervisor and reported to

the General Manager and Human Resources. A reasonable suspicion test shall include all observations that culminated in the test being administered.

If a reasonable suspicion alcohol test is not administered within two (2) hours following the observations, the witness shall prepare and maintain on file a record stating the reasons the alcohol or drug test was not administered promptly. If the test is not administered within eight (8) hours, no further testing may be conducted, however, a record shall be prepared and maintained stating why the alcohol test was not administered. An employee who is required to submit to a reasonable suspicion drug test will be suspended from work until the results of the test are disclosed to Human Resources. If the test result is negative, the employee will be paid for the time of work missed.

For a reasonable suspicion drug test, the General Manager will have the employee transported to an appropriate testing site and then transport the employee back to the work site, where the General Manager or its employees will attempt to contact a spouse, family member, or other individual to transport the employee to his or her home.

Following the reasonable suspicion drug test, if the employee refuses to cooperate with alternate transportation options and attempts to operate his or her own vehicle, the General Manager and or Supervisors will take appropriate efforts to discourage the employee from doing so, up to and including notifying local law enforcement officials. Any employee failing to cooperate with any of the procedures described will be subject to discharge. Prior to the start of work, an employee shall report to his or her immediate supervisor the use of any prescription and/or over-the-counter drugs which may affect job performance and the safety of others. It is the employee's responsibility to obtain from his or her physician a determination as to whether or not the drug could affect job performance.

TESTING ISSUES

A. Cancelled Test. If the testing agency issues a cancelled test result the employee may be asked to submit another specimen, depending upon the reason for the cancelled report.

B. Diluted Specimens. If the testing agency issues a negative test result with notation that the specimen was diluted (low creatinine and low specific gravity), the employee or prospective employee may be asked to submit another specimen for testing.

c. Adulterated Specimens. If the laboratory confirms that the specimen submitted was adulterated by the addition of a known adulterant, the test will be treated the same as if the employee had tested positive.

D. Specimen Substituted. If the laboratory confirms that the specimen was substituted and is not consistent with human urine, the test will be treated the same as if the employee had tested positive.

E. Refusal to Test. No employee may refuse to submit to required testing as outlined by this policy. A refusal will be treated the same as a positive test. Refusal to submit to an alcohol or controlled substance test means that an employee (1) fails to provide adequate breath for testing without valid medical explanation after s/he has received notice of the requirement for breath testing under this policy; (2) fails to provide adequate urine for controlled substance testing without a valid medical explanation after s/he has received notice of the requirement for testing under this policy; (3) refuses to provide a breath or bodily fluid sample for testing; or (4) engages in conduct that obstructs the testing process.

BOARD RESPONSIBILITIES

A. The Board will provide the appropriate drug and alcohol testing at no cost to the employees, however, if additional testing is needed after a positive result, the employee will be responsible for the cost of retesting.

B. The Board will contract with an independent agency properly certified to perform such testing to ensure the fairness and accuracy of the testing.

C. All information obtained in the course of testing of employees shall be treated as confidential. This information shall not be made a part of the employee's personnel file nor will it be provided to any other party without the written consent of the employee.

D. The Board will provide information on drug and alcohol use and treatment resources, the Board policy, and procedures. Each supervisor is responsible for communicating this policy to all employees under his or her supervision, and for consistent enforcement of the policy. The Superintendents will periodically confer with the Board, as needed, to suggest needed changes in the policy.

E. The General Manager and all Superintendents will receive training on the signs and symptoms of abuse and indicators used in making determinations of reasonable suspicion testing for both drugs and alcohol.

EMPLOYEE RESPONSIBILITIES

A. Employees are expected to arrive at work fit for the performance of their job duties. Arrival at work with performance-altering drugs or alcohol in the employee's system is prohibited.

B. Employees are expected to perform their job in a safe manner. Use of a chemical substance that would interfere with the personal safety of the employee or others is prohibited.

C. Employees and potential employees shall cooperate with the testing agency.

D. All employees will be required to sign a Testing Consent Form verifying their agreement to be tested under the conditions of this policy. Failure to sign a release for alcohol and drug testing will be classified as a refusal to carry out an order of a supervisor, and the employee who refuses to sign consent or to cooperate in taking a

requested test shall be terminated.

CONSENT TO BE TESTED

I hereby give my consent to the City of Frankfort Utility Service Board to obtain a urine collection and/or breath specimen and to conduct laboratory analysis of those specimens for purposes of detecting illegal, controlled, or unauthorized substances or alcohol, in accordance with the Utility Service Board's Alcohol and Drug Testing Policy.

I understand that a determination by a medical testing laboratory or clinic designated by the Utility Service Board that any illegal, controlled or unauthorized substance or alcohol is present in my system, as well as a refusal to consent to testing or obstruction of the testing process, may result in the termination of employment.

I further understand that the test results will be treated in a confidential manner by all persons and organizations involved in the testing process, as set forth by the Alcohol and Drug Testing Policy.

Employee Signature: _____ Date: _____

PRE-EMPLOYMENT CONTROLLED SUBSTANCES
TESTING CONSENT FORM
CITY OF FRANKFORT UTILITY SERVICE BOARD

I understand that as an applicant for employment by the City of Frankfort Utility Service Board I will be tested for controlled substances as a precondition for employment.

I consent to the urine sample collection and testing for controlled substances.

I understand that a positive result, diluted specimen, adulterated specimen, specimen not consistent with human urine or substituted specimen or a cancelled test result for controlled substances will disqualify me for a position with the Utility Service Board.

A Medical Review Officer will maintain the result of my controlled substance test. Negative and positive results will be reported to Human Resources. If the result is positive, the controlled substances) will be identified. The results will not be released to any other parties without my written authorization.

I understand the above conditions and hereby agree to comply with them.

Applicant's Name - print _____

Applicant's Signature _____

Date _____

HAZARDOUS WASTE

The Utility Service Board believes in the protection and preservation of the valuable natural resources. Commitment to the environment is demonstrated through responsible business practices and through our efforts to educate and encourage our citizens to a similar commitment.

1. The Utility Service Board strives to prevent the introduction of damaging materials into the air, soil, or water. As stewards of the environment, we are committed to minimizing risk in the production, handling, transportation and use of our products and also in the disposal of waste.
2. The Utility Service Board voluntarily discloses all risks to public safety and health and also enacts measures to protect employee safety and health. Open communication is encouraged to allow the reduction of risk in the work environment.
3. The Utility Service Board provides technical information and targeted training to help employees and consumers handle products safely and responsibly.

The Environmental Protection Agency has classified certain chemicals and chemical groups into categories, which have been classified as toxic. This means that in concentrated forms or by accumulating and combining with other chemicals (even the air) these chemicals can be hazardous to human health if exposure occurs.

The Utility Service Board is committed to not creating or disposing of hazardous wastes, which will contaminate the environment. We will choose materials which have been judged as non-hazardous whenever possible and will properly dispose of hazardous materials if used. Also, we will not knowingly dump any wastes into the environment at any time.

We will inform employees how to control hazardous wastes and what to do if they are exposed to hazardous wastes. If any employee suspects that the wastes he may encounter as an employee are hazardous (whether or not they are being created or used by the City of Frankfort), he should inform the Superintendent immediately.

- Do not take chances.
- Be alert for hazardous wastes.
- Know how to properly dispose of hazardous wastes.
- Direct any questions to the Superintendent.

Reporting Injuries And Accidents

Employees must advise the Superintendent of all accidents, injuries or illnesses that occur while at work. All accidents, injuries or illnesses that occur while at work must be reported immediately, however minor, to your immediate supervisor.

The Utility Service Board will provide the proper forms for reporting job-related accidents, injuries and illnesses. Any employee failing to report these occurrences is subject to disciplinary action.

AIDS AND AIDS- RELATED CONDITIONS

The Utility Service Board recognizes that Acquired Immune Deficiency Syndrome (AIDS), its related conditions such as AIDS Related Complex (ARC), and persons with seropositive test results for AIDS and/or ARC, are the source of considerable concern and pose significant and delicate issues for all employees. As a result of such recognition, we have established guidelines for handling issues that may arise when an employee is affected by these conditions.

Policy Statement

The Utility Service Board is committed to maintaining a safe and healthy work environment for all employees. Consistent with this commitment, the Utility Service Board will treat AIDS and/or ARC the same as other illnesses in terms of all our employee policies and benefits, such as group health and life insurance, employee disability, and other disability benefits.

Based on the overwhelming weight of available medical and scientific opinion, including statements from the Surgeon General of the United States, and the U.S. Public Health Service and Centers for Disease Control, there is no evidence that such diseases are casually transmitted in ordinary social or occupational settings or circumstances. Therefore, subject to changes in available medical information and/or specific conditions involving the potential for transmission of these diseases, it is the policy of the City of Frankfort that employees with such diseases or any of their related conditions may continue to work as long as they are otherwise able, with any reasonable accommodation required by law, to perform the essential functions of their positions. Employees who are affected by AIDS and/or ARC or any other life-threatening illness will be treated with compassion and understanding in dealing with their personal crisis. Co-workers will be expected not to refuse to work or withhold their services for fear of contracting such diseases by working with such an affected employee, and not to harass or otherwise discriminate against such a person.

Procedures

Recognizing the need for all employees to be able to be accurately informed about these diseases, the Utility Service Board will make every effort to have information available regarding the facts about them, how they are transmitted and not transmitted, and how best to keep them from spreading. Employees who would like to be provided with this information should contact their Superintendent or Human Resources.

Employees affected by or concerned about AIDS and/or ARC or any of their related conditions are encouraged to contact their supervisor, Superintendent, General Manager or Human Resources to discuss their concerns, and to obtain additional information. Human Resources will treat all such communications with strict confidentiality.

Privacy:

The Utility Service Board will act on all matters involving privacy. This will include the development and implementation of the privacy policies and procedures for the Board.

Complaints:

The Board has tasked Human Resources for receiving complaints about privacy policies.

Human Resources will ensure that the complaint is documented, including the name of the individual making the complaint, the date and the nature of the complaint. The contact person will determine, with the assistance of appropriate staff, whether the complaint is substantiated, and if so, will recommend procedures for mitigating the effects of the complaint. Human Resources will document the disposition of the complaint in writing or in electronic format. This documentation will be maintained for six years from the date of the complaint.

Training:

All members of the workforce who assist in claims administration will receive training on the privacy policies and procedures as of the compliance date, which is contained in the Notice of Privacy Practices. New members of the workforce, who assist in claims administration, will receive training within a reasonable period of time after their start date. As material changes to the privacy policies and procedures are implemented and/or annually, members of the workforce affected by the changes will receive training on those changes. When each employee is trained, written or electronic documentation will be maintained in the employee's personnel file.

Safeguards to Protect Private Information:

The Board will institute reasonable policies and safeguards to protect information. Examples include: keeping computer screens from public view when personnel are away from the computer; maintaining secured files or offices; procedures for former employees to return keys and change access codes upon termination; establish policies regarding removing files from office; proper disposal of paper files and electronic files; proper disposal of computer equipment; locking files and offices, etc.

Sanctions:

Violations of the privacy policies, practices or procedures by employees will result in disciplinary sanctions up to and including termination of employment. The Plan will maintain documentation of any sanctions imposed by maintaining a copy of the sanction in the affected personnel file of the Employee, as well as notification to the Board.

Mitigation:

The health insurance plan will mitigate the harm caused by an improper use or disclosure of health information, but only to the extent that the health insurance plan has actual knowledge of the harm and only to the extent that it is practicable to mitigate. This policy includes violations by any Business Associates of the plan of which the plan has actual knowledge.

Refraining from Intimidating and Retaliatory Acts:

The health insurance plan may not intimidate, coerce, threaten, discriminate against or take other retaliatory action against any person for exercising their rights under the privacy policies, including the filing of any complaint, either with the plan or with the Secretary of HHS; testifying, assisting, or participating in an investigation, compliance review proceeding or hearing involving the compliance of the plan with the privacy policies; opposing any act made unlawful by the privacy regulations, provided that the person has a good faith belief that the practice is unlawful, and the manner of opposition is reasonable and does not involve a disclosure of protected health information in violation of the privacy regulations.

Waiver of Rights:

The plan will not require a plan participant to waive any right to complain to the Secretary of Health and Human Services, or to waive any of their other rights under the privacy regulations, as a condition of enrollment in the health plan or eligibility for benefits.

Transportation Security Policy

The Utility Service Board recognizes the importance of transportation security for our employees, citizens and the community of which we are a part and as a result, strive to be in compliance with federal, state and local regulations.

Transportation security, facility security and the safety of our employees are an integral part of our daily business activities. The Superintendent is responsible for ensuring employees are properly screened and trained to perform their duties and work safely. In addition, employees are trained to report to their Superintendent all mishaps, breaches of security and hazard in the workplace.

Employees are expected to participate in all phases of this policy and conduct their daily duties in a manner consistent with its objectives and the regulations.

All employees are eligible for benefits under Workers' Compensation insurance and coverage is effective on date of hire. Workers' Compensation benefits provide weekly payments based upon a statutorily amount of the employee's regular earnings as well as payments for medical and hospital expenses arising out of an occupational illness. All benefits are provided based on the policy in effect at the time of injury or illness. This policy is subject to any and all modifications dictated by Federal and State Workers' Compensation laws.

All work related injuries or illness, no matter how slight, shall be reported immediately following the work-related injury or illness, to the employee's immediate supervisor. Within that same period of time medical consultation and drug testing as outlined in a separate procedural document (appendix A) is required if initial treatment indicated on State Form 34401 is **NOT** No Medical Treatment or Minor by Employer.

UNEMPLOYMENT COMPENSATION

Unemployment Compensation is another form of insurance, which is paid for entirely by the Utility Service Board. Unemployment compensation helps employees meet a loss of income resulting from unemployment beyond their control by paying certain benefits while they are out of work. This form of protection is in addition to group insurance, Social Security, and Workers' Compensation.

Employee signature

Employee Printed Name

Date

Appendix A
CITY of FRANKFORT

DRUG TESTING PROCEDURES

Effective Jan 1, 2020

PRE-EMPLOYMENT

Once an employee has been approved for hire, please complete the following steps:

Step 1. The new employee must come to the Human Resource office and:

- a. complete a Pre-Employment Drug Testing Form
- b. present a picture ID
- c. go to the location of the drug test

The department /head/superintendent will accompany the new employee to Frankfort Medical Clinic or the Snider Family Chiropractic to take the pre-employment drug test. The new employee must have the pre-employment drug testing form, picture ID and be prepared to take the drug test.

Step 2 All Drug Screen results will be sent to the Human Resource Office.

Location of the drug test

POST-ACCIDENT & WORKER'S COMP

Medical Clinic

Mon, Wed, Thursday

8-4PM or

Snider Family Chiropractic

Monday, Wednesday, Friday 9 AM – 5:30 PM

Tuesday, Thursday: 9 AM – 1 PM

Phone: 765-659-1881

*******After Hours Contact Dr. Snider on his personal cell phone*******

317-946-9929 or 765-242-3636