

OFFICE OF THE STATE AUDITOR

ADMINISTRATIVE

POLICIES AND PROCEDURES

An Equal Opportunity Employer

This manual supplements the various provisions of the code of Laws of South Carolina that address employment. The agency reserves the right to revise the contents of this policy, in whole or in part, with or without notice.

ALL EMPLOYEES OF THE OFFICE OF THE STATE AUDITOR ARE EMPLOYED AT-WILL AND MAY QUIT OR BE TERMINATED AT ANY TIME AND FOR ANY REASON. NOTHING IN ANY OF THE OFFICE OF THE STATE AUDITOR'S RULES, POLICIES, HANDBOOKS, PROCEDURES OR OTHER DOCUMENTS RELATING TO EMPLOYMENT CREATES ANY EXPRESS OR IMPLIED CONTRACT OF EMPLOYMENT. NO PAST PRACTICES OR PROCEDURES, WHETHER WRITTEN OR ORAL, FORM ANY EXPRESS OR IMPLIED AGREEMENT TO CONTINUE SUCH PRACTICES OR PROCEDURES. NO PROMISES OR ASSURANCES, WHETHER WRITTEN OR ORAL, WHICH ARE CONTRARY TO OR INCONSISTENT WITH THE LIMITATION SET FORTH IN THIS PARAGRAPH CREATE ANY CONTRACT OF EMPLOYMENT UNLESS: 1) THE TERMS ARE PUT IN WRITING, 2) THE DOCUMENT IS LABELED "CONTRACT", 3) THE DOCUMENT STATES THE DURATION OF EMPLOYMENT, AND 4) THE DOCUMENT IS SIGNED BY THE DIRECTOR OF ADMINISTRATION OR THE STATE AUDITOR.

I ACKNOWLEDGE RECEIPT OF THE AGENCY POLICY AND PROCEDURE'S MANUAL VIA THE OFFICE OF THE STATE AUDITOR INTRANET AND UNDERSTAND THAT THIS IS NOT A CONTRACT OF EMPLOYMENT.

Signature

Printed name

Date

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COMPENSATION

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Section I-A

Revised 7/1/04

A. COMPENSATION PHILOSOPHY

The State Auditor's Office is committed to maintaining fair and equitable compensation for its employees. State Auditor's Office will seek to offer and maintain competitive salaries and recognize outstanding job performance. To the degree possible within existing fiscal resources, employees who consistently contribute to the successful accomplishment of the agency's mission by performing above that which is minimally required will be rewarded for their efforts.

COMPENSATION

Section I-B

Revised 7/1/96

B. SALARY SCHEDULE

All State Auditor's Office classified employees will be paid within the State Classification and Compensation Plan's 10-band pay schedule. Each position is assigned to a salary level based on: 1) the duties and responsibilities outlined on the position description, 2) the employee's developmental level (i.e., length of time in the job, proficiency in performing work assignments, on-going level of job performance), or 3) market demands for particular occupations. This determination will be made when the position is initially established, reclassified, or assigned additional duties and responsibilities or when other significant job changes occur.

Once the position is assigned to a salary level within the state pay band, employees will progress through their state pay band by means of legislated pay increases and any salary increases established by the State Auditor's Office to recognize performance.

COMPENSATION

Section I-C

Revised 7/1/96

C. POSITION TITLES

Each position at the State Auditor's Office is assigned a state classification title. In addition, titles specific to the State Auditor's Office (internal titles), which more specifically represent the functions of our agency and the responsibilities of a position, may be assigned internally to each position.

COMPENSATION

Section I-D

Revised 7/1/96

D. CLASSIFICATION

1. The Director of Administration shall administer and assure adherence to all policies and procedures relating to the state classification plan.
2. A position description shall be developed and maintained for each position of a definable category of work. Those shall be maintained on a current basis in the administration office.
 - a. The position description shall include an accurate description of specific assigned duties and responsibilities and other pertinent information concerning a position.
 - b. When job duties change, a revised position description shall be forwarded promptly to the Director of Administration. It will be reviewed and forwarded to state personnel for proper classification of the position based on the newly assigned duties.
 - c. Position description forms are available from the office of administration.
 - d. Position descriptions shall be reviewed by the supervisor with the employee upon conducting performance appraisals to insure they are current.
3. No action shall be taken to fill any position until it has been approved by Director of Administration.

COMPENSATION

Section I-E

Revised 7/1/96

E. RECLASSIFICATION AND PROMOTION INCREASES

1. State Auditor's Office employees may be awarded a salary increase upon promotion or upon the reclassification of their position to a higher pay band.
2. Upon promotion or reclassification an employee's base salary may be increased by up to 10%; it must be increased at least to the minimum rate of the applicable state pay band.
3. The effective date of any reallocation or reclassification shall be as established with the Office of Human Resources Management.

COMPENSATION

Section I-F

Revised 7/1/96

F. PERFORMANCE INCREASES

In accordance with Section 8-1-160 of the State Government Accountability and Reform Act of 1993, State Auditor's Office may implement a performance pay increase plan to award increases to employees who make exceptional contributions to the agency. Any performance pay increase plan is subject to the internal availability of funds and will be reviewed on a fiscal year basis to determine our agency's ability to provide performance increases to employees.

COMPENSATION

Section I-G

Revised 7/1/96

G. ADDITIONAL SKILLS AND/OR KNOWLEDGE INCREASES

State Auditor's Office may award a salary increase to employees who gain additional knowledge or skills which enhance their job performance and contribute to the overall mission of the agency.

COMPENSATION

Section I-H

Revised 7/1/96

H. ADDITIONAL DUTIES AND/OR RESPONSIBILITIES INCREASES

State Auditor's Office may award a salary increase to employees who are assigned additional duties and/or responsibilities which increase the overall scope of the position or complexity of the job.

COMPENSATION

Section I-I

Revised 7/1/96

I. DUAL EMPLOYMENT

1. Acceptance without proper prior approval of work assignment, or remuneration that is found to be a conflict of interest will be grounds for disciplinary action or termination.
2. No employee can receive additional compensation for services performed during normally scheduled hours of work unless the employee takes annual leave or leave without pay. This requires approval of the State Auditor prior to applying for employment with the secondary agency.
3. Employees may accept temporary, part-time employment outside of state government with prior approval by the State Auditor. Approval for such secondary employment will be withdrawn if the efficiency, effectiveness, or productivity of the employee deteriorates.
 - a. Employees may accept temporary, part-time employment of a consultative or technical nature with other state agencies provided prior approval for such employment is obtained from the State Auditor as well as the Agency Head of the requesting agency.
 - b. The agency heads of the employing (primary) and requesting (secondary) agencies are responsible for determining the appropriateness of the dual employment request. Dual employment agreements shall be approved by the agency heads involved and submitted to the Division of State Human Resources Management on the official dual employment form. Approval shall be limited to the duration of the specific time frame involved and cannot in any instance exceed twelve (12) months.
 - c. No compensation shall be paid to an employee for services rendered prior to the specific approval of the conditions and amount of compensation under the provisions of this policy.
 - d. The practice of dual employment shall not be used to provide higher continuing salaries than those approved by the Budget and Control Board. Any employee engaged in dual employment shall satisfy the requirements of the established hours of work for the employing (primary) agency.
 - e. The maximum compensation that an employee will be authorized to receive for dual employment shall not exceed 30% of the employee's annualized salary for the fiscal year. Compensation for dual employment will be determined by the requesting (secondary) agency.
 - f. No persons shall be eligible for any additional fringe benefits as a result of dual employment, including annual leave, sick leave, military leave, State insurance, and holidays. However, dual employment compensation shall be subject to such tax and retirement deductions as the Comptroller General or law may stipulate.

COMPENSATION

Section I-I

- g. Any employee who is approved for dual employment must be paid in a timely manner. The secondary agency is required to make payment of funds approved for and earned under dual employment within forty-five (45) days of the beginning of the employment.

COMPENSATION

Section I-J

Revised 7/1/96

J. SUPPLEMENTAL PAY

Any supplement from a public or private source to the salary appropriated for a state employee and fixed by the State must be reported by the employee to the Division of Human Resource Management of the Budget and Control Board. The report must include the amount, source, and any condition of the supplement. Any change in the amount, source or condition must be reported to the Division by the employee.

Employees must report any supplement that is not being reported as additional earnings and is not part of the budgeted salary.

ATTENDANCE AND LEAVE

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Section II-A

Revised 9/1/16

A. GENERAL POLICY

1. The workweek for each full-time employee shall be no less than thirty-seven and one-half (37.5) hours per week.
2. Additional hours shall be required when the State Auditor determines that the direct or indirect statutory responsibilities of the office cannot be accomplished in the normal work hours observed.
3. The granting of any leave of absence with or without pay shall be in writing and shall be approved by the State Auditor. An employee who is granted leave of absence with or without pay shall be an employee of the State while on such leave and shall be returned to the same position, or one of comparable grade for which the employee is qualified, and the same work location upon termination of the approved leave of absence, unless the agency head and the employee agree in writing to other conditions and terms under which such leave is to be granted.
4. All absences must be approved in advance except in the case of emergencies that may occur due to illness or personal problems. The supervisor should be notified as soon as possible in such cases.
5. Falsification of any attendance or leave record shall be cause for disciplinary action up to and including dismissal.
6. Leave will be requested online using the MySCEmployee portal.

ATTENDANCE AND LEAVE

Section II-B

Revised 9/1/16

B. OVERTIME - COMPENSATORY TIME

1. Federal Requirements

The Fair Labor Standards Act (FLSA) establishes minimum wage rates, maximum work hours, overtime pay requirements, equal pay standards, and child labor restrictions for employees subject to its provisions.

2. Exempt/Nonexempt Status under the Fair Labor Standards Act

Employees are considered “exempt” if their job duties and their salary meet certain thresholds within the FLSA. These exempt employees are not subject to the FLSA minimum wage, overtime, or record keeping requirements. As such, exempt employees are expected to work as many hours as required to perform the duties of the position. The exempt status of an employee in a bona fide executive, administrative, professional, or computer employee position shall be determined by the State Auditor or his/her designee.

Nonexempt employees are covered by, or subject to, the minimum wage, overtime, and recordkeeping requirements of FLSA. All employees who are not considered exempt from the FLSA will be considered nonexempt.

3. Overtime Usage

The use of overtime should be an exception to the regular work schedule in any unit. An employee should only be required to work overtime on an occasional basis to meet a sudden increase in the workload, to overcome productive time lost due to some mechanical failure, or to meet the demands of a crisis situation.

When any unit and/or individual is found to be consistently charging overtime, the functions of that unit and/or individual should be reviewed by appropriate management. Every attempt should be made to avoid the repetitive and chronic use of overtime.

Overtime shall not be allowed except as authorized by the State Auditor. It shall be the responsibility of each manager to determine that the provisions of this policy are administered in the best interest of the Office of the State Auditor. Each manager is responsible for the prior approval of hours worked that will result in overtime. However, unauthorized overtime must be compensated. Unauthorized overtime may result in disciplinary actions for managers and/or employees.

ATTENDANCE AND LEAVE

Section II-B

4. Overtime/Compensatory Time

Overtime is all hours worked in excess of 40 in a seven (7) consecutive day work period. Nonexempt employees (employees covered by Fair Labor Standards Act) shall be paid no less than one and one-half (1½) times his/her regular rate of pay for all hours worked over 40 in a workweek or granted compensatory time at a rate of one and one-half (1 ½) hours for each hour of overtime worked. Nonexempt employees who have a scheduled workweek of 37.5 hours, shall not receive additional compensation or compensatory time for hours worked between 37.5 and 40.0 hours per workweek.

The requirements that overtime pay must be paid or compensatory time granted to nonexempt employees after 40 hours of work in a workweek shall not be waived by agreement between the supervisor and the employee.

Nonexempt employees may accumulate up to 240 hours of compensatory time. For overtime worked for a nonexempt employee with an accumulation of 240 hours of compensatory time, the overtime must be paid in the employee's next regular paycheck.

5. Hours Worked

"Hours worked" are defined as all hours worked during an established work period. In general, "hours worked" includes all the time an employee is required to be on duty, or on the employer's premises, or at other prescribed places of work, and any additional time the employee is required or permitted to work for the employer, if the supervisor knows or has reason to believe that the work is being performed.

Under warranted circumstances, a nonexempt employee may be allowed to work in excess of the normal workday and may be given time off during the same workweek at the rate of an hour for an hour to avoid working over 40 hours in a workweek. This adjustment is not allowed for hours worked between 37.5 and 40.0 hours during any workweek. This type of work rescheduling precludes working over 40.0 hours in a workweek and eliminates the need for overtime payment.

The normal workweek for the Agency shall be 37.5 hours. However, no employees shall receive additional compensation or compensatory time for hours worked between 37.5 and 40.0 hours per workweek. For record keeping purposes, the workweek begins at 12:01 a.m. on Sunday and ends at 12:00 midnight on Saturday. Any employee may be required to work up to forty (40) hours per workweek without additional compensation

ATTENDANCE AND LEAVE

Section II-B

6. General Provisions on Hours Worked

On-call time is not regarded as work time unless an employee is required to remain at the employer's premise or prescribed work place or is so restricted that the employee cannot use the time effectively for his or her own purposes. If the employee is not confined to his or her home or any particular place but only required to leave work where he or she can be reached, then the hours are not considered working hours.

A bona fide meal period of thirty (30) minutes or more which occurs during the scheduled workday is not hours worked if the employee is completely relieved from duty for the purpose of eating a meal. For the Office of the State Auditor, the meal period (lunch period) is one (1) hour each workday.

Breaks of short duration must be counted as hours worked. One morning and one afternoon break of no more than fifteen (15) minutes each is permitted. Breaks shall not be used to allow an employee to come in late, to leave early, or to extend the lunch period.

Travel time for nonexempt employees may be hours worked under some conditions. Ordinary home-to-work travel or work-to-home travel is not working time. All time spent traveling on one-day assignments is considered time worked regardless of time of day or day of the week.

Travel away from home involving an overnight stay for nonexempt employees is considered time worked when it occurs during the employee's normal working hours. This provision is applicable not only on regular working days, but also during the corresponding hours of non-working days.

When a nonexempt employee by reason of official responsibilities is required to attend lectures, meetings, training programs, etc., such time shall be considered work time.

Time off for holidays, paid leave, and compensatory time are not counted as hours worked when calculating overtime.

7. Compensation

The regular rate of pay includes all remuneration for employment paid to an employee to include base pay, longevity increases, and shift differentials. Compensation of all employees is based on forty (40) hours per week or 2080 hours per year. Nonexempt employees must not be paid less than minimum wage.

ATTENDANCE AND LEAVE

Section II-B

8. Impact of Status Change

If a nonexempt employee accepts a position that is considered exempt either within the employee's own agency or with a separate state agency, compensatory time must be paid prior to the employee starting in the exempt position.

If a nonexempt employee separates from employment or moves to another state agency, any accrued compensatory time must be paid out prior to the separation or movement. Compensatory time must be paid at a rate of compensation not less than either the average regular rate received by the employee during the last three years of employment or the final regular rate received by the employee, whichever is higher.

9. Holidays

An employee who is required to work on a legal holiday shall be given compensatory holiday leave credits in accordance with Section 19-708.04 of the State Human Resources Regulations; however, time worked on a legal holiday shall be used in computing total hours worked. Holiday compensatory time will be paid to the employee, if after 90 days of the holiday the employee has not taken the holiday compensatory time. All nonexempt employees will be paid for unused holiday compensatory time upon separation of employment from State government, movement to a position in another State agency (exempt or nonexempt), or upon an employee starting in an exempt position in the current agency.

10. Exempt Employees

This policy is applicable only to those employees not covered under the Fair Labor Standard Act, referred to as "exempt."

Compensatory time, may be earned with advance approval by the Audit Director or State Auditor. The manager must submit a written recommendation during the planning stage of an audit indicating the planned working hours and justification for working in excess of forty (40) hours each week.

No compensatory time will be awarded until the employee has worked forty (40) hours in one week. One (1) hour of compensatory time will accrue for each hour worked over forty (40) hours in a work period of seven (7) consecutive days.

Non-scheduled work situations such as holidays, court time/preparation, and other special situations may also be approved as compensatory time by the Audit Director or State Auditor.

ATTENDANCE AND LEAVE

Section II-B

Under no circumstances shall an exempt employee accumulate more compensatory time than the FLSA allows for a nonexempt employee (See "Nonexempt Employees" section of policy above). Exempt employees must not be paid for overtime.

11. Temporary Employees

The hourly rate is the "regular rate" for temporary employees. This rate is calculated by dividing the annual salary by 2080 hours. Temporary employees shall be compensated for all hours worked. All temporary employees must be designated as nonexempt.

ATTENDANCE AND LEAVE

Section II-C

Revised 09/01/09

C. HOLIDAYS

1. All employees of the State Auditor's Office other than temporary hourly paid employees shall be allowed to observe with pay those holidays listed below.

Legal Holidays

New Year's Day	January 1
Martin Luther King, Jr. Day	Monday, January 20
George Washington's Birthday/ President's Day	Monday, February 17
Confederate Memorial Day	May 10
National Memorial Day	Monday, May 26
Independence Day	July 4
Labor Day	Monday, September 1
Veterans Day	Tuesday, November 11
Thanksgiving Day	Thursday, November 27
Day after Thanksgiving	Friday, November 28
Christmas Eve	December 24
Christmas Day	December 25
Day after Christmas	December 26

2. Holidays are to be taken on the prescribed day unless it is necessary for the employee to be at work. Prior notice insofar as possible shall be given to employees who must work on holidays. In the event that an employee is required to work, that employee will receive the total number of hours worked in compensatory leave credits.
3. All employees whose positions are non-exempt as defined by the Fair Labor Standards Act and who are not allowed to take compensatory leave earned for working on a legal holiday within the ninety (90) day period, shall be compensated for the holiday at the employee's straight hourly pay rate no later than the second regular pay period following the end of the ninety (90) day period.
4. When a legal holiday falls on a Saturday or Sunday, it shall be observed on the preceding Friday or the following Monday, respectively.
5. When a legal holiday falls during a period of sick or annual leave, that day will not be counted as a sick or annual leave day.
6. Employees who are on leave without pay the day before a holiday shall not be paid or receive holiday compensatory time for holidays falling during this period of leave without pay.

ATTENDANCE AND LEAVE

Section II-D

D. ANNUAL LEAVE

1. Eligibility

Permanent and probationary full-time employees, and Permanent and probationary part-time employees who are scheduled to work at least one-half the workweek (20 hours) on a twelve (12) month basis are eligible for annual leave.

2. Crediting

Employees shall be credited with leave earnings for any month in which they are in pay status for one-half or more of the workdays of the month.

3. Rate of Earnings

a. Service of ten (10) years or less

Full-time employees on five (5) days per workweek schedule with State service of less than ten (10) years, shall earn annual leave dating from date of employment at the rate of one and one-fourth (1 1/4) working days per full calendar month of service in each calendar year; see Earnings Chart in D.3.C.

b. Service over ten (10) years

Full-time employees on five (5) days per workweek schedule with State service of more than ten (10) years, shall earn a bonus of one and one-fourth (1 1/4) working days of annual leave for each year of continuous service above ten (10) years, not to exceed a rate of earnings of thirty (30) days per year.

c. Earnings Chart

Five (5) days (37.5 hours) per workweek schedule:

<u>Years of Service</u>	<u>Earning Rate</u>	
	<u>Days Per Year</u>	<u>Hours Per Month</u>
1 - 10	15.00	9.38
11	16.25	10.16
12	17.50	10.94
13	18.75	11.72
14	20.00	12.50
15	21.25	13.28
16	22.50	14.06
17	23.75	14.84
18	25.00	15.63
19	26.25	16.41
20	27.50	17.19
21	28.75	17.97
22 and over	30.00	18.75

ATTENDANCE AND LEAVE

Section II-D

d. Part-time employees

Permanent and probationary part-time employees shall earn annual leave and bonus leave dating from date of employment on a pro rata basis that produces the equivalent earnings of the full-time employees on a five (5) day per workweek schedule.

4. Maximum Accumulation

a. Full-time employees

Full-time employees on a five (5) day per workweek schedule shall be permitted to carry over from one calendar year to the next any unused annual leave credit up to a total accumulation of forty-five (45) days.

b. Permanent part-time employees

Permanent part-time employees shall be permitted to carry over from one calendar year to the next any unused annual leave up to a total accumulation that, on a pro rata basis, produces the equivalent maximum accumulation of the full-time employees on a five (5) day per work week schedule.

5. Earned Leave in Excess of Maximum Accumulation

All eligible employees shall be entitled to bring into any calendar year the maximum accumulation as authorized above. Any eligible employee that does bring the maximum accumulation into a calendar year shall also be entitled to earn and use annual leave up to a maximum as authorized in Section II. D. 4. during that calendar year. HOWEVER, ONLY THE MAXIMUM ACCUMULATION MAY BE CARRIED OVER INTO THE NEXT CALENDAR YEAR.

6. Using and Scheduling Leave

a. Maximum days used per year

The maximum number of earned or accumulated working days of annual leave that may be used in any one calendar year shall not exceed thirty (30) working days; or for permanent employees on a part-time schedule the pro rata portion of the thirty (30) working days maximum that is applicable to full-time employees on a five (5) day per workweek schedule.

The thirty (30) working day maximum of annual leave that may be used in one year may be exceeded under emergency or extreme hardship conditions. An employee who has used all accumulated sick leave and thirty (30) days of annual leave may, with the approval of the State Auditor, use any remaining annual leave credit he may have.

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b. Scheduling Leave

To the degree possible, employee's requests for specific periods of annual leave shall be honored. However, considerations of workloads, work distributions, and similar factors may necessitate changes. Approval of the employee's supervisor is required for the specific periods and length of time the employee shall be on annual leave. Prior approval is required in order to take two or more days of annual leave.

Requests for leave should be submitted as far in advance as possible on the e-Leave system.

c. Charging annual leave

An employee's annual leave credit shall be charged for the actual time (in quarter hour increments) an employee is away from the job.

d. Holiday during leave

A holiday observed by the employing agency while an employee is on a period of annual leave that falls on a day that the employee would otherwise have been scheduled to work shall not be charged as a day of annual leave.

7. Credited Service

a. Employees hired prior to June 2, 1972

Employees as of June 2, 1972, shall carry forward all service as a State employee prior to June 2, 1972, for purposes of determining annual leave earnings.

b. Cumulative service

Subsequent to June 2, 1972, employees who terminate employment with the State and who are rehired following a break in service shall be given credit for the period of service prior to termination to a maximum of ten (10) years. No credit shall be given for the period between termination and reemployment.

c. Crediting leave for service of over ten (10) years

The increased leave earnings based upon service of over ten (10) years shall be granted to employees on a calendar month basis beginning the month after their adjusted anniversary dates.

d. Leave without pay

Periods of authorized leave without pay of over ten (10) working days in any one calendar year shall not be credited as service for determining annual leave earnings.

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e. Anniversary date

Employees' anniversary dates shall be adjusted for the total length of periods of authorized leave without pay of over ten (10) consecutive working days in any one calendar year and for periods of breaks in service as defined below.

f. Break in service

An employee experiences a break in service under the following circumstances:

- 1) When transferring from one State agency to another, an employee does not report to work with the gaining agency within fifteen (15) days following the last day worked (or approved day of leave) at the losing agency.
- 2) By remaining in leave without pay status for a period of more than one calendar year.

An employee in leave without pay status for more than one calendar year shall not experience a break in service if:

- a) The employee is on a military tour of duty with reemployment rights protected under Federal and/or State law.
 - b) The employee is participating in the Government Employees Interchange Program.
 - c) The employee is on disability leave without pay that has been extended by the Budget and Control Board.
- 3) By separation from State service and subsequent reemployment regardless of lapse of time. An employee is considered to have terminated from State service (as opposed to an interagency transfer) if he or she is paid for unused annual leave.

In the event a disciplinary act such as suspension or dismissal is set aside or the employee is reemployed as may be directed by a subsequent decision of a grievance hearing, the period in which the employee is not on the agency's payroll shall not be considered as a break in service.

8. Transfer from one State Agency to another

Upon transfer of an employee without break in service from one state agency to another, all accumulated annual leave shall be transferred with the employee from the losing agency to the gaining agency.

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9. Termination of Employment (Annual Leave)
 - 1) Upon termination of employment with the State, for any reason a lump sum payment will be made for unused leave, not to exceed forty-five (45) days and without regard to the earned leave taken during the calendar year. Upon the death of an employee while in active service, the beneficiary or legal representative shall be entitled to the lump sum payment.
 - 2) Leave credit is determinable as of the last day of work. No additional annual leave earnings apply during the period represented by a lump sum payment and service credits are not given for such period.

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Revised 2/4/02

E. SICK LEAVE

1. Eligibility

Permanent and probationary full-time employees, and Permanent and probationary part-time employees who are scheduled to work at least one-half the workweek (20 hours) on a twelve (12) month basis are eligible for sick leave.

2. Earnings

a. Full-Time Employees

All permanent full-time State Employees shall be credited with sick leave beginning with the date of employment at the rate of one and one-fourth (1 1/4) working days per month of service or fifteen (15) days per year.

b. Permanent Part-Time Employees

All permanent part-time State employees shall be credited with sick leave beginning with the date of employment on a pro rata basis that produces the equivalent earnings of one and one-fourth (1 1/4) working days per month or fifteen (15) days per year for full-time employees.

c. Additional sick leave may be granted

The State Auditor may advance up to 15 workdays of additional sick leave to an employee in extenuating circumstances. The State Auditor may advance this leave only upon written verification from a health care practitioner that the employee is expected to return to work within that period of time. Upon return to work, the employee will have all earned sick leave applied to the leave deficit at the rate of 1 1/4 days per month (or if part-time, the monthly earning rate) until the deficit has been eliminated.

3. Maximum Carry-over

Permanent full-time and permanent part-time employees shall be permitted to carry over from one calendar year to the next a maximum accumulation of 180 days unused leave credits.

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Section II-E

4. Crediting and Charging Sick Leave

a. Crediting sick leave

Employees shall be credited with leave earnings for any month in which they are in pay status for one-half or more of the workdays of the month.

b. Charging sick leave

Employees sick leave credit shall be charged for the actual time (in quarter hour increments) an employee is away from the job.

5. Notification and Use of Sick Leave

a. Notification and approval

An employee should notify his immediate supervisor as soon as possible after the beginning of the workday if he is unable to report to work due to illness. The State Auditor has the discretion to request a physician's statement regarding an employee's illness if there is reason to believe that sick leave is being abused. See [Appendix A](#). The employee should be made aware of this in advance.

It is the policy of the State Auditor's Office that disability leave which exceeds ten (10) consecutive workdays (with or without pay) be requested in writing. See [Appendix B](#). Except in emergencies or extenuating circumstances, requests shall be made and approved in advance. A physician's statement certifying the disability and anticipated inclusive dates should accompany the request. See [Appendix A](#). The State Auditor has the discretion of not allowing an employee to return to work until the physician certifies that the employee is fully able to perform his assigned duties.

b. Use of sick leave

An employee shall be granted sick leave if absent for any of the following reasons:

- 1) Personal illness or injury that incapacitates the employee to perform duties of the position.
- 2) Exposure to a contagious disease such that presence on duty could endanger the health of fellow employees when certified by a licensed physician.

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Revised 6/30/03

- 3) Appointment for medical or dental examination or treatment when such appointment cannot reasonably be scheduled during non-work hours. To the degree possible, examination appointments must be approved in advance by the appointing authority.
- 4) Sickness during pregnancy or other temporary disabilities. To the extent permissible, the date on which sick leave for disability is to begin shall be at the request of the employee based on the determination and advise of a doctor. In no event shall such date be prescribed unilaterally by an appointing authority except on the basis of professional medical opinion that the employee is physically incapable of performing normal duties or that continuing to perform normal duties would be hazardous to the health of the employee.
- 5) Treatment of alcoholism -- sick leave may be charged by an employee for the purposes of participating in public and/or private treatment and rehabilitation programs for alcoholics which have been approved by the South Carolina Department of Mental Health.
- 6) Employees may use not more than ten (10) days of sick leave annually to care for ill members of their immediate families. To use sick leave under this provision, you must be providing necessary medical care. For purposes of this paragraph "immediate family" means a spouse and/or children; the employee's or spouse's mother, father, brother, sister, grandparent, or legal guardian; and grandchildren if the grandchild resides with the employee and the employee is the primary care-taker of the grandchild.
- 7) An employee who is an adoptive parent may use not more than six (6) weeks of accrued sick leave to care for the child after placement. The employee must be the person who is primarily responsible for furnishing the care and nature of the child.

6. Transfer

Employees who transfer without a break in service from one State agency to another shall transfer accumulated sick leave up to the total amount accrued adjusted to the scheduled workweek of the gaining agency.

Any employee of a school district transferring to a state agency or any employee of a state agency transferring to a school district after June 8, 1984 will be restored with up to sixty (60) days of sick leave.

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Revised 12/16/09

7. Leave with and without pay
 - a. For any extended period of disability due to illness, injury or maternity, exceeding the amount of accrued sick leave, the employee may apply for leave without pay which, along with any paid leave that has been taken, shall not exceed 180 days. The request shall not be denied for bona fide illness or disability for employees who have served satisfactorily in the agency for a period of six (6) months or more.
 - b. The Agency shall require a physician's statement or other acceptable documentation giving the projected inclusive dates of disability prior to approval. Dates set forth in the physician's statement can be amended by the physician. As long as disability is certified by a physician, the amount of leave authorized shall not exceed (1) 180 calendar days of the combined leave with pay and leave without pay, or (2) 180 working days of leave with pay; otherwise the employee shall forfeit reinstatement privileges and be separated from State service.
 - c. In extenuating circumstances, the State Auditor, at his discretion, may extend the period of leave without pay for disability to a total of 365 days. The employee shall have the option of using or retaining accrued annual leave prior to leave without pay for disability. The employee shall use all sick leave before going on leave without pay status unless the State Auditor at his discretion grants an exception at the employee's request. (Exception: In extenuating circumstances the Division of Human Resource Management may grant approval for extending disability leave beyond 365 days without a break in service.)
 - d. Leave without pay requests not covered by the preceding provisions or other state policy must be submitted by the employee in writing to the Audit Manager and the State Auditor for approval. The employee must clearly state the reasons for the leave without pay request, the inclusive dates, and provide sufficient information concerning any extenuating circumstances. Approval is required prior to taking the leave. The amount of leave authorized under this provision shall not exceed 180 calendar day of combined leave with pay and leave without pay. The Director of Administration must be notified promptly of any leave without pay situations.

Employees on any type of approved leave without pay who return within the specified time frames, shall be entitled to reinstatement privileges to the same position or one of comparable pay band for which the employee is qualified.

8. Break in Service

When an employee experiences a break in service all sick leave credits are forfeited and may not be reinstated, unless the separation occurred within one (1) year and was due to a reduction in force. An employee experiencing a break in service under the following circumstances:

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- a. When, in transferring from one State agency to another, an employee does not report to work with the gaining agency within fifteen (15) calendar days following the last day worked (or approved day of leave) at the losing agency.
- b. By remaining in leave with and/or without pay status for a period of more than one (1) year (see Exceptions).
- c. If, following a reduction in force, the employee is not recalled within twelve (12) months of the effective date of layoff.
- d. By separation from State service and subsequent reemployment regardless of lapse of time. An employee is considered to have terminated from State service (as opposed to an interagency transfer) if he or she is paid for unused annual leave. (Exceptions: Any permanent employee separated from State service by a reduction in force shall not experience a break in service if the employee is reemployed within one year in accordance with the procedure under which he was separated.)

9. Break in Service Exceptions

An employee in leave without pay status for more than one calendar year shall not experience a break in service if:

- a. The employee is on military tour of duty with reemployment rights under Federal and/or State Law.
- b. The employee is participating in the Government Employees Interchange Program.
- c. The employee is on disability leave without pay that has been extended by the Budget and Control Board.
- d. In the event a disciplinary act such as suspension or dismissal is set aside or the employee is reemployed as may be directed by subsequent decision of a grievance hearing, the period in which the employee is not on the agency's payroll shall not be considered as a break in service.

10. Termination of Employment (Sick Leave)

Upon termination from employment with the State, employees shall forfeit all accumulated sick leave credit.

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Section II-F

Revised 1/1/94

F. OTHER LEAVE WITH PAY

1. Court

- a. An employee who is summoned as a member of a jury panel shall be granted court leave with pay, and any jury fees and travel payment shall be retained by the employee. A summons for jury duty should be attached to the Leave Request.

Any day an employee is either excused or has completed service on a jury, the employee is expected to return to the job; otherwise, the time the employee is either excused or has completed court service will be charged to annual leave, or in the case of illness, to sick leave.

- b. An employee subpoenaed as a witness shall be granted court leave with pay. (Attach copy of Subpoena to the Leave Request.)
- c. An employee subpoenaed in line of duty to represent the State Auditor's Office, the Budget and Control Board, another State agency, or other audited unit as a witness or defendant shall not be granted court leave with pay, and appearance in such cases shall be considered a part of the employee's job assignment. The employee shall be reimbursed for any meals, lodging and travel expenses that may be incurred while serving in this capacity, as with any other job duty requiring travel. No Per Diem or other Stipend is allowed. If such is received from the court it must be returned to administration for credit to the General Fund.
- d. In no case shall court leave with pay be granted for court attendance when an employee is engaged in personal litigation; however, an employee may be granted annual leave or leave without pay in such cases with prior approval.

2. Elections

An employee who lives at such distances from assigned work location as to preclude voting outside of working hours may be authorized a maximum of two (2) hours of leave with pay for this purpose. An employee may not be granted election leave to work at the polls during elections; however, annual leave may be approved at the discretion of the approving authority.

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3. Short-term Military Training

All officers and employees of this State or a political subdivision of this State, who are either enlisted or commissioned members of the South Carolina National Guard, the United States Army Reserve, the United States Air Force Reserve, the United States Naval Reserve, the United States Marine Corps Reserve, or the United States Coast Guard Reserve are entitled to leaves of absence from their respective duties without loss of pay, time, or efficiency rating, for one or more periods not exceeding an aggregate of fifteen regularly scheduled work days in any one year during which they may be engaged in training or any other duties ordered by the Governor, the Department of Defense, the Department of the Army, the Department of the Air Force, the Department of the Navy, the Department of the Treasury, or any other department or agency of the government of the United States having authority to issue lawful orders requiring military service. Saturdays, Sundays, and state holidays may not be included in the fifteen-day aggregate unless the particular Saturday, Sunday, or holiday to be included is a regularly scheduled work day for the officer or employee involved. In the event any such person is called upon to serve during an emergency he is entitled to such leave of absence for a period not exceeding thirty additional days. Any one year means either a calendar year or, in the case of members required to perform active duty for training or other duties within or on a fiscal year basis, the fiscal year of the National Guard or reserve component issuing the orders.

4. Death in Immediate Family

- a. An employee, upon request, shall be granted up to three (3) consecutive work days of leave with pay on the death of any member of the employee's immediate family. Immediate family is defined as the spouse, great-grandparents, grandparents, parents, brothers, sisters, children, grandchildren, and great-grandchildren of either the employee or the spouse.
- b. Each employee requesting leave due to death in the immediate family may be required to submit a statement to his or her supervisor stating the name of the deceased and the relationship to the deceased. This statement should be attached to the employee's request for leave form for proper documentation.

5. Blood Donation

Employees desiring to donate blood must be excused from work during the employee's regular work hours for the purpose of making the donation without prejudice to the employee and no leave or makeup time may be required. Any employee desiring to donate blood shall notify his supervisor of the scheduled donation and the amount of time needed for the donation as far in advance as may be practicable. The supervisor may deny the employee's request for time to donate if the absence of the employee would create an extraordinary burden on the agency. In considering the employee's request, the supervisor shall take into consideration such factors as type of blood donation, workload, etc. The supervisor may, as a condition of approving the request, require the employee to provide documentation of the donation.

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Section II-F

6. Assault

An employee who is temporarily disabled as a result of an assault while on duty by an inmate, patient, or client may be placed on administrative leave with pay rather than sick leave for a period not to exceed 180 days per incident.

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Section II-G

G. LEAVE OF ABSENCE WITHOUT PAY

1. Disability

For leave without pay for extended disability - illness, injury or maternity leave - see Section II. E. 7.

2. Military Leave

Every employee who on or after June 25, 1950, has been, or shall be commissioned, enlisted or selected for service in the Armed Forces of the United States shall be granted leave without pay beginning with the date of induction and ending ninety (90) calendar days after the date of separation from military service, but in no event for a period longer than five (5) years from the date of entry into the Armed Forces of the United States. During such leave of absence, the employee shall be entitled to retain all seniority and efficiency rating; however, such time while on military leave without pay shall not count toward eligibility for merit salary advancement.

3. Workers' Compensation

Employees of the State Auditor's Office are fully covered by Workers' Compensation. If an employee sustains an accidental injury out of and in the course of employment with the State, the employee is entitled to medical attention at the State's expense. In addition, the employee may elect to use sick or annual leave in conjunction with Workers' Compensation disability benefits awarded for lost time.

The first responsibility for claiming compensation under the Workers' Compensation Act lies with the employee. Therefore, it is very important for an employee to report any accident to his or her supervisor immediately. The Director of Administration shall be responsible for filing Workers' Compensation claims.

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Section II-H

H. HAZARDOUS WEATHER

1. Declaration of Emergency

"Emergency conditions" means circumstances that would expose State employees to harmful or unsafe conditions, as determined by the Governor's Office.

The Governor has the sole authority to excuse employees of State government from reporting to work during extreme weather or other emergency conditions. The Governor shall issue a Declaration of Emergency stating that, because of extreme weather or other specified emergency conditions, employees should not report to work. Unless such a Declaration of Emergency has been issued, all State government employees are expected to report to work.

The Declaration may be applicable to all employees in the entire State, or only to those employees in one geographical region of the State or a combination of geographical regions. Non-essential employees who live or work within the region(s) specified in the Declaration will not be expected to report to work.

During a Declaration of Emergency, all essential service, as determined by the State Auditor will be maintained.

Nothing contained in this section precludes the necessary immediate evacuation of a facility in the interest of personal safety.

2. Notification of Declaration of Emergency

a. Normal Working Hours

Once a decision for a closing has been made, it will be transmitted by telephone from the Governor's Office through the Division of Human Resource Management to each state agency. The Director of Administration will coordinate the notification of employees of the State Auditor's Office.

b. Off-Duty Hours

Between the hours of 5:00 PM and 8:00 AM all Declarations of Emergency will be transmitted by the Governor's Office to the news media. Employees will assume an individual responsibility to respond in an appropriate manner to closings as they may be announced.

3. Compensation During Declaration of Emergency

Employees who do not report to work or who report late to work shall use accrued annual or compensatory leave to make up time lost, or be allowed to make up time lost from work at a time to be scheduled by the agency. The employee must be given the option of making up the time lost from work if he/she so desires.

Section II-I

Revised 8/1/16

I. WORK HOURS AND LOCATION

1. Standard Hours

The standard business hours for the State Auditor's Office are from 8:30 AM to 5:00 PM. A staff member will be working at the reception desk and will answer phone calls during these hours. The doors to the office will be locked at all other times.

2. Variable Work Schedule(s)

- a. Variable Work Schedule (VWS) policy allows full-time permanent employees to adjust their work start and work end time.
- b. VWS hours must be worked between 7:00 AM and 6:30 PM and must not exceed 9.0 work hours per day.
- c. Standard lunch break each workday is 1 hour and should generally be taken between 11:00AM and 2:00 PM. Lunch breaks are not considered work hours and employees cannot use their lunch or break period in place of required work time. An employee may be permitted, however, to schedule a lunch as short as 30 minutes with prior manager approval.
- d. Managers must approve all VWS prior to the beginning of each two-week VWS period.
- e. Managers will maintain a schedule of the work start and work end times for each employee for each day in the two-week VWS period. This schedule will be an electronic spreadsheet maintained on the network server. Each morning Administration will post to the intranet the work start and work end times for each employee.
- f. Managers will determine if the VWS option is viable when employees are working out of the office. Each manager will be responsible for approving the VWS for each member of his/her team.
- g. The VWS privilege can be revoked if it is abused; if it interferes with providing audit services to our clients; if there are performance deficiencies; and/or if it interferes with issues and situations relating to the Americans with Disabilities Act and/or the Family Medical Leave Act.
- h. Approval of a VWS is a management decision and is discretionary. It is not a grievable matter.

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Section II-I

3. Work Schedules Rules

- a. Work Schedule Rules (WSR) refers to the number of hours an employee works each day (not the work start and work end times). WSR is the work schedule for each employee in the SCEIS payroll system and is the basis for each employee's pay.

Revised 11/16/11

- b. Changes to the WSR for each employee can only be made when the 2nd or 17th day of the month fall on the weekend. Employees must submit any changes to their managers **ten** days prior to starting the new work schedule. Managers must approve and submit changes to Administration **five** days prior to starting the new work schedule. If an approved change is not received by Administration **five** days prior to starting the new work schedule, the WSR will not be changed.
- c. Holidays are non-working days and must be taken. On a holiday employees will be credited with 7.5 hours. Employees scheduled to be off on a holiday will receive holiday compensatory time through the leave system. Holiday compensatory time must be taken within 90 days or it will be forfeited. Employees scheduled to work on a holiday are required to submit leave for any time missed between 7.5 and the scheduled work hours. Managers will be responsible for monitoring any time missed.
- d. During sick, annual and LWOP days, the employee must account for all of the time scheduled to work that day.
- e. Non-exempt employees may not work more than 40 hours per week.

4. Location of Assignment

Work assignments that are conducted at locations other than 1401 Main Street, as well as leave taken, must be recorded in the daily log kept in the reception area. Auditors should also record any periods of unassigned time in this book.

ATTENDANCE AND LEAVE

Section II-J

Revised 8/18/97

J. TIME REPORTING

Each member of the audit staff must complete a time sheet for each monthly reporting period.

At the end of the month the original completed time sheet(s) is submitted to the auditor in-charge on the current assignment for approval. The in-charge submits the time sheets to the manager.

Time sheets should be submitted by noon on the last day of the month. The employee is responsible for the accuracy of the time report. Use the following procedures:

1. Agency Name

The first column is for the name of the agency the employee is working on. Write in the name of the agency, do not abbreviate. When charging time to State Auditor's Office for annual leave, sick leave, etc., use State Auditor's Office as the agency name. Use each line, do not skip lines.

2. Agency/Facility Code

The second column is the agency or facility code. The agency code for the State Auditor's Office is F27. The agency codes for State agency and Medicaid audits are in the forms files as "Audit Control Characters-Medicaid" and "State Agency Codes and Names".

3. Year

This column is for the year of the engagement for an agency or facility. Use the current year for time charged to F27.

4. Service Code

The type service codes for time chargeable to a specific entity are:

- 1 Non-Billable
- 2 State Agency Engagements
- 3 Medicaid Engagements
- 4 Special Assignment/Project (non State Auditor's Office project)
- 5 Investigations
- 6 Hotline

Time that is not related to a specific engagement is charged as non-billable, service code 1.

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5. Miscellaneous Code

- L Leave (Any type of leave – including Holidays, Sick Leave, Annual Leave, Other Leave With Pay [see Section II-F] CPA Exam, etc. Use only with the F27 agency/facility code).
- U Unassigned Time (Use only with the F27 agency/facility code).
- T Training (Use Service Code 1 for attendance at training sessions and instructor preparation and presentation time; use only with F27 agency/facility code).
- AA Audit Administration (Use Service Code 1 for audit and administrative tasks not identifiable to a specific engagement. This code includes QC Work Paper Reviews, participation in professional organizations, State Auditor's Office meetings, computer development and consulting, evaluations, collecting and organizing cost reports, etc.).
- OH Other Hours (Time charged to an engagement after draft report is submitted to QC/typing such as Report QC, responding to QC points, and any work on Medicaid after the Draft Report is issued; do not use with F27 agency/facility code).

6. Dates and Hours

Enter the dates on the time sheet in the columns provided. Allocate the time worked for each day appropriately. At the end of the month total the hours worked.

Enter the hours worked in 1/10 hours, using a decimal point (.1 through .9 hours can be used). One-half hour would be .5 and a full day would be 7.5. Always show the hours worked with a decimal point separating the whole hours from the fractional hours.

ATTENDANCE AND LEAVE

Section II-K

K. EMPLOYEE LEAVE TRANSFER PROGRAM

1. Policy

Employees of the State Auditor's Office may transfer sick and/or annual leave into a leave transfer pool. When a personal emergency exists, an employee may draw leave from the pool, provided the employee meets the established criteria and the request is approved.

2. Definitions

- a. Leave Donor - An employee who voluntarily transfers sick and/or annual leave to the pool leave account of our agency. This request must be in writing.
- b. Leave Recipient - An employee who has a personal emergency and is selected and approved to receive sick and/or annual leave from the pool leave account of our agency.
- c. Personal Emergency - A medical or family emergency or other hardship situation that is likely to require an employee's absence from duty for a "prolonged period" of time and to result in substantial loss of income to the employee because of the unavailability of paid leave. A personal emergency is limited to catastrophic and debilitating medical situations, severely complicated disabilities and severe accident cases - each of which would require a prolonged period of recuperation. Routine disabilities or disabilities resulting from elective surgery do not qualify for leave transfers.
- d. Prolonged Period - Generally interpreted to be a minimum of thirty (30) working days. An employee must have been in leave without pay for at least thirty (30) working days or documentation must certify a medical emergency will result in an employee being in leave without pay for this length of time.
- e. Supervisor - For the audit staff, "supervisor" refers to the appropriate Director of Audits. For all other staff, the supervisor is the one who prepares the EPMS document.

3. Eligibility

All permanent and probationary employees who are scheduled to work at least twenty (20) hours per week on a twelve (12) month basis and who are eligible to accrue sick and/or annual leave are eligible to participate in the program.

Employees who become eligible for other paid benefits for periods of absence from work will generally be considered ineligible for leave transfers. Examples of other paid benefits include but are not limited to workers compensation, long term disability, and disability retirement benefits.

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An employee who is within thirty (30) days of eligibility for long term disability insurance or disability retirement and who has exhausted a substantial balance of accrued leave due to the prolonged personal emergency, shall be eligible for consideration when requesting approval for less than thirty (30) days minimum requirements for leave transfer.

4. Procedures to Donate Leave

Eligible employees may transfer sick and/or annual leave to the leave transfer pool account through the e-Leave system.

- a. Eligibility to Donate - An employee wishing to donate sick and/or annual leave to either the sick or annual leave transfer pool must do so prior to December 1 of the calendar year.
- b. Annual Leave - An employee may voluntarily request that a specific number of hours of accrued annual leave be transferred from his/her annual leave account to the Annual Leave Transfer Pool. This leave will be distributed to approved leave recipients according to the provisions of this policy.
- c. Sick Leave - An employee may voluntarily request that a specific number of hours of accrued sick leave be transferred from his/her sick leave account to the Sick Leave Transfer Pool. A fifteen (15) day sick leave balance (112.5 hours) must be retained in order to donate to the sick leave pool. This leave will be distributed to approved leave recipients according to the provisions of this policy.
- d. Once leave has been transferred to a pool account, it will not be restored or returned to the leave donor.
- e. An employee may donate no more than one-half of the annual or sick leave he earns within a calendar year to the appropriate pool leave account for that calendar year.

5. Procedures to Request Leave

An employee who has a personal emergency may request sick or annual leave from the appropriate pool account. A Leave Transfer Request Form must be completed and submitted through supervisory channels to the Director of Administration. See [Appendix C](#). A review will be conducted to determine the appropriateness of the request.

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Revised 2/4/02

Some of the factors that will be considered are:

- a. Patterns of leave usage,
- b. Negative written notices on leave usage during the last two years,
- c. Severity of the medical or family emergency,
- d. The probability that thirty (30) days or more of leave without pay would result if no leave is transferred.
- e. Explanation of the hardship situation that will be created if the leave transfer is not approved.

There are no limits to the number of separate requests that an employee may submit; however, each separate request shall be limited to no more than thirty (30) workdays.

Under guidelines established by the Budget and Control Board, the State Auditor may, upon receiving a completed request, review all necessary information and approve recipients from within the State Auditor's Office to participate in the leave transfer program. Unless the personal emergency involves a medical condition affecting the leave recipients, the State Auditor may consider the likely impact on morale and efficiency within the agency in approving a leave recipient to use transferred leave.

6. Use of Sick or Annual Leave

When a leave transfer has been approved, all or any portion of the sick and/or annual leave pool will be transferred to the employee's leave account.

After a request has been approved, an employee may use sick or annual leave from the appropriate pool account in the same manner and for the same purposes as if the employee had accrued the leave in the manner provided by law.

All leave available for use by the employee, including accruals, must be used before using any leave from a leave transfer pool.

Whether annual or sick leave transferred under this program may be applied retroactively and for what length of time will be determined on a case by case basis in light of the justification presented.

ATTENDANCE AND LEAVE

Section II-K

7. Termination of Emergency or Employee

The leave recipient must provide documentation to certify the beginning, the continuation and the termination of the personal emergency. Failure to do so will be considered immediate termination of the personal emergency; further use of Transfer Pool leave will cease; and any remaining "pool" leave will be restored to the appropriate pool account.

When the personal emergency terminates, no further leave will be transferred and any transferred sick or annual leave remaining to the credit of the leave recipient will be restored to the appropriate account.

When a leave recipient's employment terminates, transferred sick or annual leave from a pool account remaining to the credit of a leave recipient will be restored to the appropriate pool account. It may not be transferred to another employee, included in a lump sum payment for accrued leave, or included in the leave recipient's total service for retirement computation.

ATTENDANCE AND LEAVE

Section II-L

Revised 12/16/09

L. Voluntary Employee Furlough Guidelines

1. In any year that the General Appropriations Act authorizes the agency head to institute a voluntary furlough program in a fiscal year in which the general funds appropriated for a state agency are less than the general funds appropriated for that agency in the preceding fiscal year, or whenever the General Assembly or the Budget and Control Board implements a midyear across-the-board budget reduction, the voluntary furlough program for the Office of the State Auditor will be defined as outlined below. In the event that the reduction in funding is due solely to the General Assembly transferring or deleting a program, this policy does not apply.
2. Any employee desiring to take a voluntary furlough shall submit the request to his or her Manager as a leave request. In the Type of Leave box select "Z. Voluntary Furlough". By completing the leave request the employee certifies that he/she has reviewed these guidelines and is aware of their requirements. The furlough can be taken only upon the approval of the employee's Manager and the State Auditor. To the degree possible, the SAO will attempt to honor the furlough request; however, the consideration of workloads, work distribution, and similar factors may necessitate that the furlough not be taken or be taken at a different time. Denial of any voluntary furlough request will be made in consultation with the State Auditor.
3. Furloughs may be requested in any amount from one working day to ninety days in increments of one day. No furlough under this program can exceed ninety calendar days per fiscal year.
4. This program is completely voluntary. No employee can be forced or coerced into going on a furlough under this program. Any employee who submits a leave form requesting a voluntary furlough thereby acknowledges that he or she has done so without any coercion, undue influence, threat, or intimidation of any kind or type.
5. While on furlough, the employee will be placed in leave without pay status, without a break in service and with the continuing accumulation of sick and annual leave benefits.
6. While on furlough, the employee is subject to all policies and procedures of the SAO applicable to employees in leave without pay status. During a voluntary furlough, the employee shall be entitled to participate in the same state benefits as otherwise available to him/her except for receiving a salary.

ATTENDANCE AND LEAVE

Section II-L

7. As to those benefits that require employer and employee contributions, the Office of the State Auditor will be responsible for making both employer and employee contributions if coverage would otherwise be interrupted. When the voluntary furlough ends, the employee will resume his/her obligation to make the Employee contributions.
8. The employee is solely responsible to make any contributions or payments for any benefit that requires only employee contributions or payments. If there will be no paycheck from which to make deductions, the employee will be solely responsible for ensuring that payment is made for any benefit that requires only employee contributions or payments. In no case will the SAO assume any responsibility for these deductions.

ATTENDANCE AND LEAVE

Section II-M

03/02/09

M. FAMILY AND MEDICAL LEAVE ACT

I. Eligibility

Any employee of the Office of the State Auditor who has worked for the State at least 12 months, not consecutive, and 1250 hours, prior to requesting leave under the Family and Medical Leave Act (FMLA) may be eligible for leave, in accordance with this policy and the Family and Medical Leave Act. For purposes of this policy, the 12 months need not be consecutive, but employment periods prior to a break in service of 7 or more years need not be counted unless the break in service was due to fulfillment of National Guard or Reserve military obligation, or a written agreement exists concerning the State's intention to rehire the employee after the break in service. An employee returning from National Guard or Reserve duty is credited with the hours of service that would have been worked except for the military service.

A break in service for this policy is defined as an absence of employment from state government.

II. Use of FMLA Leave

An employee shall be granted up to a total of 12 workweeks of FMLA leave in each 12-month period on a continuous or intermittent basis, for one or more of the following reasons:

- Birth, adoption or placement in foster care of a child;
- For the care of a spouse, child or parent with a serious health condition;
- For the employee's own serious health condition which makes the employee unable to perform the functions of his or her position;
- For a qualifying exigency caused by the call to active duty of a member of the Armed Forces; and qualifying exigencies can include: short notice deployment; military events and related activities; childcare and school activities; financial and legal arrangements; counseling; rest and recuperation; post-deployment activities; and additional activities not encompassed in other categories but agreed by the Office of the State Auditor and the employee.
- To care for a spouse, child, parent or next of kin who is a service member and is injured or becomes seriously ill while on active duty.

ATTENDANCE AND LEAVE

Section II-M

Under the military caregiver leave provisions, an eligible employee who is the spouse, son, daughter, parent or next of kin of a current member of the Armed Forces, including a member of the National Guard or Reserves, may be entitled to up to a total of 26 workweeks during a single 12-month period to care for the service member who has a serious injury or illness incurred in the line of duty on active duty that may render the service member medically unfit to perform his or her duties; for which the service member is undergoing medical treatment, recuperation, or therapy, or is in outpatient status; or is on the temporary disability retired list.

For the purposes of this policy, a serious health condition is:

- 1) An illness, injury, impairment, or physical or mental condition that involves either inpatient care (i.e., an overnight stay) in a hospital, hospice, or residential medical-care facility, including any period of incapacity or subsequent treatment in connection with such inpatient care; or
- 2) Continuing treatment by a healthcare provider, this includes:
 - a. A period of incapacity lasting more than three consecutive, full calendar days, and any subsequent treatment or period of incapacity relating to the same condition;
 - b. Any period of incapacity related to pregnancy or for prenatal care;
 - c. Any period of incapacity or treatment for chronic serious health condition which continues over an extended period of time, requires periodic visits, to a healthcare provider (at least twice a year), and may involve occasional episodes of incapacity. A visit to a healthcare provider is not necessary for each absence; or
 - d. A period of incapacity that is permanent or long-term due to a condition for which treatment may not be effective. Only supervision by a healthcare provider is required, rather than treatment; or
 - e. Any absences to receive multiple treatments for restorative surgery or for a condition that would likely result in a period of incapacity of more than three days if not treated.

Generally, the 12-month period, under South Carolina State Government is a calendar year, with the exception of leave for the birth of a child and to care for the newborn child; and for the placement of a child for adoption or foster care. In these exceptions, the 12-month period expires after the birth or placement.

ATTENDANCE AND LEAVE

Section II-M

III. Notice of the Need for Leave

An employee requesting FMLA leave must, when foreseeable, give 30 days advance notice to the Office of the State Auditor of the need to take FMLA leave. When 30 days is not possible, the employee must provide notice as soon as practicable and must comply with the Office of the State Auditor's normal call-in procedures.

IV. Medical and Other Certifications

Office of the State Auditor may require employees requesting FMLA leave to provide certification from a health care provider to support the need for FMLA leave. Certification will be required for the following: 1) an employee's own serious health condition; 2) to care for a family member with a serious health condition; or 3) military caregiver leave. The Office of the State Auditor may also require periodic recertification of a serious health condition and to establish familial relationships. Separate certification may be required to confirm the nature of the family member's military service or the existence of a qualifying exigency. The Office of the State Auditor may require additional information for the need for FMLA leave.

An employee who refuses to provide medical certification or other required documentation to the Office of the State Auditor may lead to a denial or delay of his or her FMLA leave request.

V. Notification and Designation of FMLA Leave

The Office of the State Auditor will notify the employee of his or her eligibility to take leave. The Office of the State Auditor will also inform the employee of his or her rights and responsibilities under FMLA. FMLA leave will run concurrently with other leave types such as worker's compensation, administrative leave, sick leave, annual leave, and leave without pay, when applicable. FMLA leave will be charged against all applicable leave types.

VI. Intermittent FMLA Leave and Reduced Schedule

If medically necessary, eligible employees may take FMLA leave on an intermittent basis or on a reduced schedule for their own serious health condition, the serious health condition of a spouse, daughter, son, or for military caregiver leave.

Leave due to the birth or adoption of a child may be taken intermittently and must be completed within the 12 - month period beginning on the date of the birth or placement of the child and is subject to employer's approval.

ATTENDANCE AND LEAVE

Section II-M

VII. Spouses Working for the State

Spouses employed by the State are limited in the amount of FMLA leave they may take. The employee and the employee's spouse may be limited to a combined total of 12 weeks of FMLA leave in a calendar year. For military caregiver leave, the employee and employee's spouse may be limited to a combined total of 26 weeks of leave in a single calendar year.

VIII. Maintenance of Insurance Benefits

The Office of the State Auditor will maintain group health insurance coverage for an employee on FMLA leave whenever such insurance was provided before the leave was taken and on the same terms as if the employee had continued to work.

IX. Job Restoration

Upon return from FMLA leave, an employee who can still safely perform the position's essential functions is entitled to return to the same position the employee held when the FMLA leave commenced, or to an equivalent position with equivalent benefits, pay, and other terms and conditions of employment. That position must involve the same or substantially similar duties and responsibilities, which must entail equivalent skill, effort, responsibility and authority.

The Office of the State Auditor will not interfere, restrain, or deny the exercise of any rights provided by the Family Medical Leave Act.

EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM

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Section III-A

Revised 11/1/09

A. GENERAL INFORMATION

All performance appraisals shall be made in writing by the employee's supervisor (the rater) who has direct experience or knowledge of the work being performed. The appraisal shall be reviewed by the next higher level supervisor (the reviewer), unless the rater is the agency head, prior to the appraisal being discussed with the employee. The reviewer may attach additional comments to the appraisal, and in the attachment may take exception to the rater's appraisal. In addition, the reviewer has the authority to change the appraisal completed by the rater. If the reviewer elects to change the rating, the change and associated justification should be noted on the appraisal document. Whenever an employee's job responsibilities change significantly, the appraisal document should be revised to reflect that change. The final appraisal must bear the signature of the rater, the reviewer and the employee, if possible. If any party refuses to sign the appraisal, a notation shall be made on the performance appraisal of this. If possible, a witness should sign to acknowledge that the party refused to sign the appraisal.

All performance appraisals shall become a permanent part of the employee's official personnel file. Upon request, the agency shall furnish the employee with a copy of the performance appraisal with copies of all pertinent attachments including the form completed at the time of the planning stage and the final appraisal form.

The provisions of this policy address the appraisal process of both probationary and covered employees. Although not mentioned specifically in this policy, employees exempt from coverage under the State Employee Grievance Procedure Act shall also be given annual performance appraisals.

EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM

Section III-B

B. TRAINING

Training is encouraged for all employees within the agency in regard to EPMS.

EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM

Section III-C

C. LEVELS OF PERFORMANCE

There shall be three levels of performance to rate each job function and objective and to rate overall performance:

1. Exceptional
Work that is above the criteria of the job function throughout the rating period.
2. Successful
Work that meets the criteria of the job function.
3. Unsuccessful
Work that fails to meet the criteria of the job function.

Performance characteristics shall not be rated by the three levels of performance, but shall be given a rating of pass or fail.

1. Pass
Meets requirements.
2. Fail
Fails to meet requirements.

Overall EPMS performance in the State Auditor's Office will be on a weighted factor basis. During the planning stage, the supervisor and employee will determine the weight (the degree of critical importance) assigned to each duty, and objective of the position. Performance characteristics shall not be weighed in the determination of the overall rating. This will clearly identify to the employee what is important to success in the position and where the employee should place the most attention. The weights assigned to each of the individual items will be expressed as percentages and should total 100%.

At the conclusion of the performance review period, each duty or objective should be assigned a "1" for Unsuccessful, a "2" for Successful, a "3" for Exceptional. By multiplying each "weight" assignment by the number corresponding to the performance level, adding the resulting numbers and dividing the total by 100, an overall performance rating level can be determined by the use of the following Performance Table.

<u>Range</u>	
Exceptional Performance Requirements (E) – 3	2.5 and above
Successful Performance Requirements (S) – 2	2.4 to 1.5
Unsuccessful Performance Requirements (U) – 1	1.4 and below
Pass (P)	
Fail (F)	

EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM

Section III-D

Revised 11/1/09

D. PLANNING STAGE [Appendix D](#)

Each employee shall have a planning stage conducted at the beginning of each rating period. The employee's job functions (which include job duties and success criteria), objectives, and performance characteristics for the next rating period will be discussed at this time. These items, as included in the planning stage, are described below. The rater and employee should participate in drafting the planning stage document. The reviewing officer and the rater should discuss the requirements for the coming year prior to the planning stage. A rater may incorporate a team activity into the planning stage document. The team performance being evaluated could constitute a job function, an objective, or one criteria for a particular job function or objective. A rater may also link the employee's training plan to the planning stage document.

1. JOB FUNCTIONS

The rater and the employee shall determine the job functions (which include job duties and success criteria) by reviewing the employee's position description. If the position description is not up-to-date, or if there is no position description, one should be prepared and submitted for approval. In those instances where the rater and employee cannot agree upon the job functions, the rater's decision shall be final. The statement outlining the job function should include descriptive information about the performance expectations (success criteria) of the rater. The descriptive statement should specify the expectations of the rater for the employee to meet performance requirements. Each job function shall be rated in the evaluation stage based on the three levels of performance. It shall be mandatory for all raters to be evaluated on the timely completion of each employee's performance appraisal.

2. OBJECTIVES

Objectives shall be optional for all employees. An objective should be included when the employee is assigned a special, non-recurring project or assignment that is not included on the employee's position description. The statement outlining the objective(s) should also include descriptive information about the performance expectations (success criteria) of the rater. The descriptive statement should specify the expectations of the rater for the employee to be successful. Each objective shall be rated in the evaluation stage based on the three levels of performance.

EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM

Section III-D

3. PERFORMANCE CHARACTERISTICS

Each performance characteristic shall be defined in the planning stage and rated as "pass" or "fail" in the evaluation stage. The performance characteristics section shall be used as a communication tool to emphasize those performance characteristics that are important to success in performing the job functions and objectives included in the planning document. The performance characteristics section shall not be weighted in the determination of the overall performance rating.

It shall be mandatory for all managers and supervisors to be rated on the performance characteristic of "promoting equal opportunity." (Promoting equal opportunity includes such areas as hiring, promotion, or placement; level of personal and organizational commitment to equal opportunity; progress toward achieving a fully integrated and representative work force; and contribution toward minority programs and other social/economic equal opportunity goals.)

EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM

Section III-E

E. ONGOING PERFORMANCE MANAGEMENT

A rater should continue to provide performance feedback to employees throughout the review period. An unofficial mid-year review is encouraged to facilitate this communication between raters and employees. In addition, various options are available to the rater in conducting performance management. A rater may gather feedback to prepare the appraisal document and/or conduct unofficial appraisals more frequently than required in this policy. A rater of an employee who is assigned audit responsibilities should provide an interim evaluation of the employee's performance no less often than each calendar quarter.

EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM

Section III-F

F. PROBATIONARY PERIOD

Each new employee in probationary status shall be rated prior to the completion of a twelve month probationary period. The performance review date marks the beginning of a new review period. If that employee does not receive a performance appraisal prior to the performance review date, the employee will receive a "successful" rating by default and obtain covered status as a State employee and permanent status in the class. The probationary period may not be extended. If an employee is not performing satisfactorily during the probationary period, the employee shall be terminated before becoming a covered employee. Until an employee has completed the probationary period and has a "successful" or higher overall rating on the employee's evaluation, the employee has no grievance rights under the State Employee Grievance Procedure Act; therefore, an agency is not required to follow the "Substandard Performance Process" to terminate a probationary employee. The "successful" rating is the equivalent to the "meets" performance rating referenced in the State Employee Grievance Procedure Act.

EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM

Section III-G

Revised 11/1/09

G. ANNUAL PERFORMANCE REVIEWS

All employees shall be given an annual appraisal no more than 90 calendar days prior to the employee's performance review date. An employee on approved leave with or without pay for more than 30 consecutive workdays may have the performance review date advanced up to 90 days after those first 30 workdays. A covered employee who within 30 calendar days of his performance review date receives a "Warning Notice of Substandard Performance" shall have the performance review date advanced up to 90 days.

The performance review date marks the beginning of a new review period. If an employee does not receive an appraisal prior to the performance review date, the employee shall receive a "successful" rating by default. A covered employee may not be issued an overall "unsuccessful" appraisal at any time during the annual review period without following the "Substandard Performance Process."

EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM

Section III-H

H. TRIAL PERIODS

Each covered employee who has been demoted, promoted or reclassified shall be appraised prior to the completion of a six month trial period in the position. The performance review date marks the beginning of a new review period. If an employee does not receive a performance appraisal prior to the performance review date, the employee will receive a "successful" rating by default and obtain permanent status in the new classification. Once an employee has completed a successful trial period and obtained permanent status in a class, the employee retains permanent status in the class throughout the employee's continuous service. The six month trial period may be extended up to 90 calendar days upon written notice to the employee prior to the end of the six month trial period. The employee's performance review date shall be advanced for the time period such extension is in effect.

The "Substandard Performance Process" is not required to demote or reclassify downward an employee in trial status to the same class from which promoted, if the demotion or reclassification occurs within the trial period. The "Substandard Performance Process" is also not required to demote or reclassify downward an employee in trial status to a class in an equal or higher pay band from which promoted, if the demotion or reclassification occurs within the trial period. The employee in trial status may not grieve such demotion. The employee in trial status may not be terminated or demoted to a class in a lower pay band than that from which promoted for performance reasons without following the "Substandard Performance Process."

EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM

Section III-I

Revised 11/1/09

I. SUBSTANDARD PERFORMANCE PROCESS FOR COVERED EMPLOYEES

A covered employee is entitled to adequate notice of substandard performance and the opportunity to improve the substandard performance before receiving a "unsuccessful" rating and being removed from the position. To ensure this occurs, the following procedures shall be followed:

- a. A rater shall issue a "Warning Notice of Substandard Performance" prior to issuing an "unsuccessful" rating to a covered employee. If during the performance period an employee is considered "unsuccessful," in any essential job function or objective which significantly impacts performance, the rater shall provide the employee with a written "Warning Notice of Substandard Performance." The warning notice shall provide for an improvement period of no less than 30 days and no more than 120 days. The warning notice may be issued at any time during the review period. Ordinarily, the warning period may not extend beyond the employee's review date. However, if the warning notice is issued less than 30 days from the employee's review date, the performance review date shall be advanced up to 90 days.
- b. The rater and employee should participate in drafting a work improvement plan. The work improvement plan should include a list of ways to improve the deficiencies and other appropriate performance related recommendations. In those instances where the rater and employee cannot agree upon the content of the work improvement plan, the rater's decision shall be final.
- c. During the warning period, the employee and the rater shall have regularly scheduled meetings during which they shall discuss the employee's progress. Documentation is required to verify that these counseling sessions were held. Copies of this documentation shall be placed in the employee's official personnel file and given to the employee upon request.
- d. If the employee's performance is rated "successful" or above, on all essential job functions/objectives, which significantly impact performance, noted in the warning notice by the end of the warning period, employment shall continue. If the employee is rated "unsuccessful", on any essential job function or objective which significantly impacts performance as noted in the warning notice by the end of the warning period, the employee shall be removed from the position immediately (i.e., terminated, reassigned, demoted).
- e. Once a time frame for improving substandard performance has been given, the employee must receive a written appraisal prior to the end of the warning period or the employee will receive a "successful" rating by default.

EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM

Section III-I

- f. If an employee has been issued two warning notices within a 365 day period and performance drops to a substandard level on any essential job function/objective, which significantly impacts performance for a third time within a 365 day period, the employee shall be removed from the position upon the third recurrence of such substandard performance by issuing the “unsuccessful” appraisal. A warning notice is not required on the third occurrence.

EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM

Section III-J

J. WARNING NOTICE OF SUBSTANDARD PERFORMANCE

The requirements of a "Warning Notice of Substandard Performance" are:

- a. The notice shall be in writing, addressed to the employee, labeled as a "Warning Notice of Substandard Performance," and signed by the employee (witnessed, if employee will not sign).
- b. The notice shall list the job function(s) and/or objective(s) included on the employee's planning document that are considered "unsuccessful," with an explanation of the deficiencies for each job function and/or objective.
- c. The notice shall include the time period for improvement and the consequences if no improvement is noted (i.e., terminated, demotion, reassignment).
- d. The notice shall include a plan for meetings to discuss employee progress during the warning period.

A copy of the notice shall be given to the employee and placed in the employee's official personnel file.

EMPLOYEE DISCIPLINARY GUIDELINES

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Section IV-A

Revised 7/1/04

A. POLICY

Consistent with sound management and good employee relations practices, it is most important that disciplinary action be administered in a consistently fair, equitable, and uniform manner. The State Auditor's Office recognizes its continuing responsibility in developing and administering disciplinary procedures as a mechanism for safeguarding both the employee's rights as well as the Agency's interest. Standards for applying discipline afford a due process by which each employee can be assured that penalties for rule infractions will be applied fairly and will follow a systematic process of warnings and written documentations, unless severity of circumstances warrants otherwise.

It is the State Auditor's Office policy, therefore, that uniform procedures be followed by its supervisors which will assure:

1. That an employee will have had sufficient instruction and guidance in an effort to correct behavior.
2. That all similar cases of rule infractions will be dealt with in a uniform manner, assuming similar severity of infractions.
3. That an employee will have sufficient notice that continued improper conduct may result in eventual dismissal.
4. That all disciplinary actions be included in the employee's official personnel file, except that oral reprimands need not be included, unless a written reprimand becomes necessary.
5. That all suspension and termination requests be reviewed by the Director of Administration and approved by the State Auditor prior to employee suspension or dismissal.
6. That all permanent employees will be afforded the right of appeal in accordance with the Agency Grievance Procedure.
7. Section IV does not apply to probationary employees.
8. All employees will be furnished a copy of the Progressive Discipline Guidelines for the State Auditor's Office.

EMPLOYEE DISCIPLINARY GUIDELINES

Section IV-B

Revised 5/5/95

B. FORMS OF DISCIPLINARY ACTION

The following should be viewed as the guiding procedure for taking disciplinary action.

1. Oral Reprimand

- a. Inform the employee in private of the improper or unacceptable conduct; inform the employee that an oral reprimand is being given.
- b. Explain how personal conduct has been improper or unacceptable.
- c. Allow the employee to give an explanation for the unacceptable conduct or improper actions.
- d. Discuss ways to correct or improve conduct.
- e. Inform employee that personal conduct must be improved.
- f. Offer any assistance that may be needed in correcting personal conduct.
- g. A record of this action shall be placed in the supervisor's incident file. The date of the discussion and details of the incident and discussions shall be included in this record.

2. Written Reprimand

- a. A repetition of an offense covered in a previous oral reprimand, or the first occurrence of a more severe offense, shall be followed by a written reprimand.
- b. The written reprimand must be addressed to the employee and labeled as a reprimand. The nature of the offense, the dates of any counseling sessions and the oral reprimand (if given) shall be referenced in the written reprimand. The reprimand shall specify ways to improve.
- c. The employees shall be informed in the written reprimand that repetitions of an offense or a more severe offense will warrant further disciplinary action up to and including dismissal.
- d. The employee should sign the written reprimand as having been received and understood. The original signed by the employee shall be forwarded to Director of Administration to be placed in the employee's official personnel file. A copy of the reprimand must be given to the employee. In the event an employee refuses to sign the reprimand such refusal should be witnessed by a party independent to the action.

EMPLOYEE DISCIPLINARY GUIDELINES

Section IV-B

3. Suspension

- a. The employee may be suspended for a reasonable period of time, not to exceed two (2) weeks, depending on the severity of the offense. Suspensions shall first be reviewed by the Director of Administration and approved by the State Auditor.
- b. Prepare a written notice to the employee identifying the following:
 - (1) The nature of the offense.
 - (2) Dates of reprimands and counseling sessions.
 - (3) The inclusive dates of suspension.
 - (4) The consequences if the offense is repeated.
 - (5) The employee's appeal rights under the Agency's Grievance Procedure.
 - (6) Forward a copy of the written notice to the Director of Administration for processing and placement in the employee's official personnel file.

4. Dismissal

If the offense, or series of offenses warrants, dismissal can occur at any point. Dismissal must be approved by the State Auditor. A written notice, including reasons for dismissal and appeal rights must be given to the employee. Dismissal actions should be coordinated at all stages with the Director of Administration.

EMPLOYEE DISCIPLINARY GUIDELINES

Section IV-C

Revised 5/5/95

C. PROGRESSIVE DISCIPLINE GENERAL

A standard range of penalties and uniform administration of remedial action is established for various types of undesirable conduct. Review of these procedures should be maintained to ensure that all supervisors are being consistent in taking disciplinary action against employees involved in similar situations and that employees are aware of the range of disciplinary standards. Consequently, each supervisor and employee will be given a copy of the policy, and explanations and interpretations concerning it will be readily available. This progressive discipline policy does not apply to probationary employees who may be disciplined at the agency's discretion.

1. Guidelines

Ordinarily, the circumstances surrounding an offense, such as the severity of the misconduct, the number of times it has occurred and any previous counseling, will suggest what action should be taken. Usually, counseling or an oral reprimand is sufficient for the first occurrence of a minor offense. A record of this action with the employee's and the supervisor's signatures should be placed in the employee's personnel file. A repetition of the offense or the first occurrence of a more severe offense should be followed by a written reprimand which becomes a part of the employee's permanent personnel file (which should also be signed by the employee as having been received and understood). Further repetitions of the offense or the first occurrence of a very serious offense is followed by suspension, reassignment, demotion, termination or other appropriate action. Please note that these are intended only to be guidelines because it is most difficult to be all-inclusive or to assign a degree of severity to the various examples given below. For example, "leaving the work station without authorization" may range from a temporary absence from the work station to complete abandonment of a position. In such case, a manager must rely on judgment as an experienced administrator to arrive at appropriate disciplinary action. At management's discretion, individual offenses calling for oral or written reprimands could cumulatively result in suspension or termination.

2. Voluntary Resignations and Performance Issues

Employees who voluntarily fail to report to work for three consecutive workdays and fail to contact the agency during this time period will be considered to have voluntarily resigned. All performance related problems should be addressed by the guidelines established in the Employee Performance Management System.

3. Disciplinary Actions

No disciplinary actions beyond a written reprimand may be taken without being authorized by the State Auditor. Audit Managers may recommend appropriate discipline. The following steps shall be followed in such cases when discipline beyond the written reprimand is necessary.

EMPLOYEE DISCIPLINARY GUIDELINES

Section IV-C

- a. The supervisor presents all facts surrounding the incident to the Audit Manager, he/she presents the facts to the Director with a recommendation for discipline.
- b. If the Director agrees with the recommendation, the matter is next discussed with the State Auditor or his designee.
- c. If action is to be taken, it shall be taken under the authority and signature of the State Auditor or his designee with the supervisor initiating such action.

EMPLOYEE DISCIPLINARY GUIDELINES

Section IV-C

Revised 7/1/96

An employee should be given an oral reprimand in private for relatively minor infractions of inappropriate behavior, misconduct, or violations of rules. Discipline may begin at any step in the procedures depending on the seriousness of the individual offense. Any discipline administered should be commensurate with the offense. These Guidelines are intended to provide guidance, but the circumstances of a particular situation may well warrant disciplinary action outside these Guidelines. Questions pertaining to these Guidelines should be directed to the State Auditor, or the Director of Administration.

<u>OFFENSE</u>	<u>FIRST OFFENSE</u>	<u>SECOND OFFENSE</u>	<u>THIRD OFFENSE</u>	<u>FOURTH OFFENSE</u>
Unauthorized Leave	Written Reprimand	Suspension	Termination	
Habitual Tardiness or Failure to Observe Assigned Work Hours	Oral Reprimand	Written Reprimand	Suspension	Termination
Abuse of Leave	Oral Reprimand	Written Reprimand	Termination	(Refer to Family and Medical Leave Act and Americans With Disabilities Act)
Excessive Absenteeism	(To be used for employees who become unreliable because of frequent absenteeism, even if for good and sufficient reasons. Termination should be preceded by oral counseling in an attempt to inform the employee of the problem. Refer to Family and Medical Leave Act and Americans With Disabilities Act)			
Leaving Work Station Without Authorization	Oral to Written Reprimand	Suspension	Termination	
Reporting to Work Under the Influence of Alcohol	Suspension	Termination	(Refer to Section 8-11-110 of the SC Code of Laws; Act on Alcoholism)	

EMPLOYEE DISCIPLINARY GUIDELINES

Section IV-C

<u>OFFENSE</u>	<u>FIRST OFFENSE</u>	<u>SECOND OFFENSE</u>	<u>THIRD OFFENSE</u>	<u>FOURTH OFFENSE</u>
Drinking Alcoholic Beverages on the Job	Termination		(Refer to Section 8-11-110 of the SC Code of Laws; Act on Alcoholism)	
Reporting to Work Under the Influence of Drugs	Suspension	Termination		
Possessing or Using Illegal Drugs on the Job	Up to Termination			
Insubordination	Oral to Written Reprimand	Suspension to Termination	Termination	
Falsification of Records or Documents	Suspension to Termination	Termination		
Stealing	Termination			
Negligence	Oral to Written Reprimand	Suspension to Termination	Termination	
Willful Violation of Written Rules, Regulations or Written Policies	Suspension to Reprimand	Termination		
Fighting	Suspension to Termination	Termination		

EMPLOYEE DISCIPLINARY GUIDELINES

Section IV-C

<u>OFFENSE</u>	<u>FIRST OFFENSE</u>	<u>SECOND OFFENSE</u>	<u>THIRD OFFENSE</u>	<u>FOURTH OFFENSE</u>
Unauthorized Use of State Equipment or Property	Oral Reprimand to Termination	Termination		
Destruction or Written Misuse of Property or Equipment	Reprimand to Suspension	Suspension to Termination	Termination	
Unauthorized Solicitation or Sales on State Premises	Oral to Written Reprimand	Suspension to Termination	Termination	
Unauthorized Possession of Firearms on the Job	Termination			
Unauthorized Distribution of Written or Printed Material of Any Kind	Written Reprimand	Suspension to Termination	Termination	
Sleeping While on Duty	Written Reprimand	Suspension to Termination	Termination	
Horseplay	Oral Reprimand	Written Reprimand	Suspension	Termination
Malicious Use of Profane/Abusive Language to Others	Oral Reprimand	Written Reprimand	Suspension	Termination
Loafing	Oral Reprimand	Written Reprimand	Suspension	Termination

EMPLOYEE DISCIPLINARY GUIDELINES

Section IV-C

<u>OFFENSE</u>	<u>FIRST OFFENSE</u>	<u>SECOND OFFENSE</u>	<u>THIRD OFFENSE</u>	<u>FOURTH OFFENSE</u>
Interference With Other Employee's Work	Oral Reprimand	Written Reprimand	Suspension to Termination	Termination
Working on Personal Jobs During Work Hours	Oral to Written Reprimand	Suspension	Termination	
Excessive Use of Telephone for Personal Matters	Oral Reprimand	Written Reprimand	Suspension to Termination	Termination
Defacing State Property	Written Reprimand to Termination	Termination		
Sexual Harassment	Written Reprimand to Termination	Termination	(Refer to Sexual Harassment Policy)	
Conviction of a felony	Up to Termination			
Conviction of a misdemeanor which adversely reflects on an individual's suitability for continued employment	Termination			
Discourteous treatment of visitors and/or customers	Oral Reprimand to Suspension	Suspension to Termination	Termination	

EMPLOYEE DISCIPLINARY GUIDELINES

Section IV-C

<u>OFFENSE</u>	<u>FIRST OFFENSE</u>	<u>SECOND OFFENSE</u>	<u>THIRD OFFENSE</u>	<u>FOURTH OFFENSE</u>
Failure to maintain satisfactory or harmonious working relationships with employees or supervisors	Oral Reprimand	Written Reprimand	Suspension	Termination
Improper conduct or conduct unbecoming a state employee	Written Reprimand to Termination	Suspension to Termination	Termination	
Willful false statements to a supervisor	Suspension to Termination	Termination		
Threatening or making threatening actions toward another employee	Suspension to Termination	Termination	(Refer to Workplace Violence Policy)	
<p>The above indicated actions in response to specific offenses are to be used as a guide and are not intended to be all inclusive. At the occurrence of any of the listed offenses, or any that are not listed, the appropriate discipline shall be determined after the particular circumstances of the case have been carefully considered. The state and federal laws referenced above are not all-inclusive in administering discipline.</p> <p>Special Note: This Office holds a Public Trust and its employees must adhere to high standards of integrity. Personal activities which are illegal or adversely reflect upon the reputation of the State Auditor's Office will be avoided. Any personal activities which result in complaints being filed with this Office will be investigated. Each matter will be considered individually, and disciplinary measures as deemed appropriate by the State Auditor, or his representative, will be taken. This includes conduct which, in the opinion of the State Auditor, is disruptive or counter productive to the operation of the agency, or is, in his opinion, unbecoming of an employee or may adversely reflect upon the State Auditor's Office.</p>				

EMPLOYEE GRIEVANCE POLICY AND PROCEDURES

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Section V-A

Revised & Effective 7/1/04

A. PURPOSE

The State Employee Grievance Procedure Act (hereinafter referred to as the "Act") provides that each agency and department of State government shall establish an employee grievance procedure for covered employees which shall be reduced to writing and be approved by the State Human Resources Director. A copy of the approved grievance procedure must be made available to covered employees of the agency. Employees choosing to file a grievance or appeal must not be disciplined or otherwise prejudiced for exercising rights or testifying under the provisions of this policy.

EMPLOYEE GRIEVANCE POLICY AND PROCEDURES

Section V-B

Revised & Effective 10/1/96

B. GRIEVABLE ISSUES

As used in this Act, grievances or appeals shall include terminations, suspensions, involuntary reassignments in excess of thirty (30) miles from the prior work station, and demotions. Reclassifications, reassignments, and transfers within the same state salary range are not considered grievances or appeals. However, reclassifications are considered a grievance only if an agency, or an appeal if the State Human Resources Director, determines that there is a material issue of fact that the action is a punitive reclassification. Promotions are not adverse employment actions which may be considered grievances or appeals except in instances where the agency, or in the case of appeals, the State Human Resources Director, determines that there is a material issue of fact as to whether or not an agency has considered a qualified covered employee for a position for which the employee formally applied or would have applied if the employee had known of the promotional opportunity. However, when an agency promotes an employee one organizational level above the promoted employee's former level, that action is not a grievance or appeal for any other qualified covered employee. Failure to be selected for a promotion is not considered an adverse employment action which can be considered a grievance or an appeal.

Salary decreases, based on performance as indicated on EPMS evaluations, are adverse employment actions that may be considered as grievances or appeals. A reduction in force is also an adverse employment action considered as a grievance only if the agency, or as an appeal if the State Human Resources Director, determines that there is a material issue of fact that the agency inconsistently or improperly applied its reduction in force policy or plan.

Prior to filing a formal grievance, the covered employee may first attempt to resolve the matter informally with his immediate supervisor. This matter may be presented verbally or in writing. However, this is merely an informal attempt to resolve the matter and cannot be substituted for the requirements of Step One in the following procedure.

EMPLOYEE GRIEVANCE POLICY AND PROCEDURES

Section V-C

Revised & Effective 10/1/96

C. PROCEDURES

Step One

If the matter was not resolved informally with the covered employee's immediate supervisor, the covered employee must notify the Director of Administration in writing to initiate a formal grievance. The covered employee must initiate the grievance with the Director of Administration within fourteen (14) calendar days of the effective date of the action.

The Director of Administration or other designated official shall initially review the grievance to determine whether the complaint involves a grievance as defined by the State Employee Grievance Procedure Act. The Director of Administration or other designated official may conduct appropriate investigations and fact findings as he may consider necessary to make this determination. If it is determined that the matter is not grievable, the covered employee shall be so advised in writing by the State Auditor or a designee, normally within five (5) calendar days of receipt of the grievance. Such determination shall be a final decision within the agency which may be appealed to the State Human Resources Director.

If it is determined that the matter is grievable, the Director of Administration or other designated official will promptly schedule a conference to occur between the covered employee's next level supervisor and the covered employee, normally within five (5) calendar days of receipt of the grievance. However, any initial determination by the Director of Administration or other designated official that the matter may be grieved shall only entitle the covered employee to have the matter considered in accordance with this grievance procedure and shall in no way be construed to be an adjudication of the merits of the grievance. At the conference with the covered employee's next level supervisor, the covered employee will have an opportunity to present his position regarding the grievance. The next level supervisor may conduct appropriate investigations and fact findings to determine whether to accept, reject, or modify the disciplinary action taken against the covered employee. The covered employee will be advised of his next level supervisor's decision in writing within five (5) calendar days of the conference.

EMPLOYEE GRIEVANCE POLICY AND PROCEDURES

Section V-C

Step Two

To continue the grievance, the covered employee must notify the State Auditor or a designee in writing within five (5) calendar days after receiving the Step One decision. The State Auditor or a designee must promptly schedule and conduct a conference with the covered employee, normally within five (5) calendar days. The covered employee will be provided an opportunity at this time to present his position regarding the grievance. The State Auditor or a designee may conduct appropriate investigations and fact findings to determine whether to accept, reject, or modify the disciplinary action taken against the covered employee. The State Auditor or a designee must advise the covered employee of the decision in writing within five (5) calendar days of the conference. This decision will be final within the agency.

The internal time periods of the agency grievance procedure may be waived upon the mutual written agreement of both parties. The 45 calendar day period for action by the agency may not be waived except by mutual written agreement of both parties.

The Act allows the covered employee to appeal to the State Human Resources Director any grievance involving the issues specified in the Act after all administrative remedies to secure relief within the agency have been exhausted.

The Act provides that a covered employee has the right during the grievance and appeal process to a representative, including counsel. If the covered employee chooses to exercise the right of counsel, it shall be at his expense.

EMPLOYEE GRIEVANCE POLICY AND PROCEDURES

Section V-D

Revised & Effective 10/1/96

D. GENERAL INFORMATION

The Act provides for an appeal of a grievance beyond the agency to the State Human Resources Director. Any covered employee may appeal the decision of the State Auditor or a designee. Such appeal must be in writing and submitted to the State Human Resources Director within ten (10) calendar days of receipt of the agency's final decision or 55 calendar days from the initial date the grievance was filed within the agency, whichever occurs later. As to the 55 calendar days, the Act provides that a covered employee may appeal directly to the State Human Resources Director in the event the agency does not complete its entire internal grievance procedure within 45 calendar days from the time the grievance is initially filed within the agency. Failure by the agency to issue a final decision within this 45 calendar day period is considered an adverse decision. The failure to issue a final decision allows the covered employee to proceed with an appeal to the State Human Resources Director after 45 calendar days, but no later than 55 calendar days from the initial date the grievance was filed within the agency. Failure by the covered employee to file an appeal within the time periods referenced in this paragraph shall constitute a waiver of the right to appeal.

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Section VI-A

Revised 7/1/04

A. PERSONNEL RECORDS

1. Policy

Director of Administration shall establish and maintain all official records required by the State Personnel Rules governing personnel programs.

2. Employee Records

Director of Administration shall maintain an official personnel file for each employee which shall include the following:

- a. A copy of the employment application.
- b. Copies of all personnel actions reflecting a history of the employee's service.
- c. Correspondence directly related to the employee's work record.
- d. Copies of all performance appraisals.
- e. Pertinent payroll information.

3. Access to Personnel Records

An employee's official personnel file shall be open for the employee's review upon request. Employee personnel files cannot be removed from the Administration Office except by permission of the State Auditor. If copies of documents in the file are desired, Director of Administration will have copies made and deliver them to the employee.

Under the Freedom of Information Act, any person has the right to inspect or copy any public record of a public body, except as otherwise provided in the law, in accordance with reasonable rules concerning the time and places of access and cost. A written request for such information must be submitted to the State Auditor and signed by the requesting party. Only the employee's name, pay band, salary range, sex, race, title, dates of employment and job description will be released. Disclosure of additional information is permissible if the employee authorizes it or if a court requests it.

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Section VI-A

4. Maintenance of Records

Each employee should remember the necessity of keeping personnel records current. Any change in one's personal life that affects personnel and payroll records shall be reported to Director of Administration as soon as possible. This information might be only a change of address or telephone number. Others could be more significant creating the need to change insurance coverage or beneficiaries. Reporting personnel information promptly is important both to the employee and the employer.

EMPLOYMENT

Section VI-B

Revised 10/2/00

B. ADMINISTRATIVE ORIENTATION

All employees of the State Auditor's Office on an original appointment, transferring in from another State Agency, or being rehired after a break-in service shall, on their first day of employment, or as soon as possible, receive an administrative orientation from the Administrative Office. The orientation will include items such as the following:

1. I-9 Information
2. ID Card
3. Leave Policy
4. Insurance Coverage
5. Benefits and Deductions
6. Wages - Time and Method of Payment
7. Normal Work Hours

All new employees will be briefed on how to access the Agency Policy & Procedure Manual on the SAO Intranet.

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Section VI-C

C. ADMINISTRATIVE EXIT INTERVIEW

Each employee separating from employment with the State Auditor's Office shall, on or before his/her last day of employment, complete an exit interview with the Administrative Office and return all materials, keys, manuals, etc., issued to him/her.

EMPLOYMENT

Section VI-D

D. NEPOTISM

1. Policy

The South Carolina Nepotism Act makes it unlawful for the head of an agency to hire relatives by blood or marriage for positions in the agency. Additionally, covered relatives, as hereinafter defined, may not be employed concurrently within the State Auditor's Office if such employment will result in an employee supervising a member of his/her family, or where one member occupies a position which has influence over another's employment, promotion, salary administration and other related management or personnel considerations. Exceptions to this policy may be permitted in certain emergency or extra-ordinary circumstances for temporary periods of time, not to exceed ninety (90) calendar days, or for some longer period with the approval of the State Auditor, where other qualified applicants are not available for an essential task.

2. Definition of "covered relatives"

The term "covered relative" as used herein means any person related by blood or marriage with one-sixth degree of kinship. See following chart.

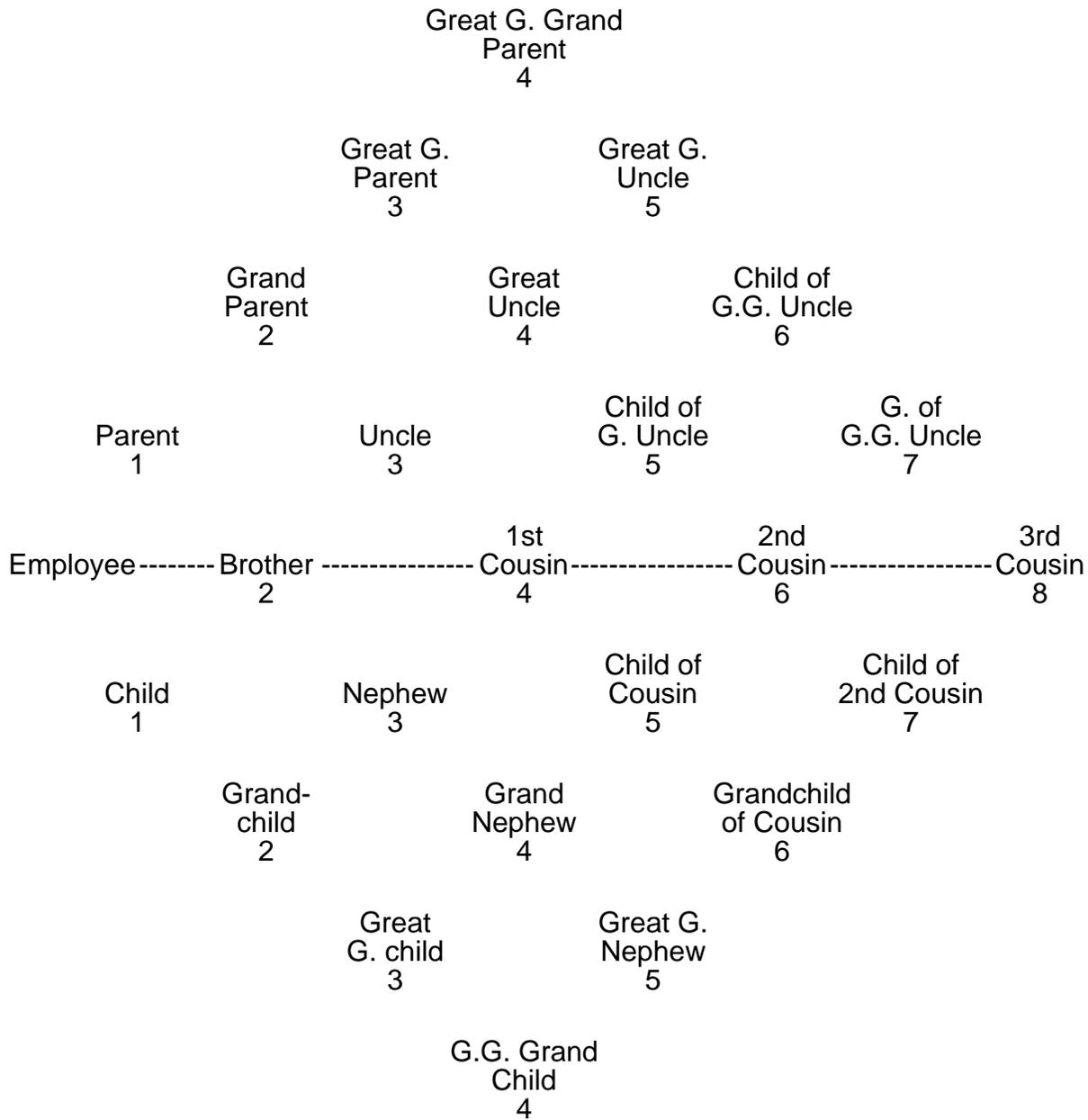
3. Exceptions

Provisions of this policy shall not apply to any employee working in one of the above defined immediate family or relative relationships as of January 1, 1984.

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4. Nepotism Chart



Where "brother" appears, read "brother or sister", where "uncle" appears, read "uncle or aunt; where "nephew" appears, read "nephew or niece."

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Section VI-E

E. AFFIRMATIVE ACTION POLICY

It is the policy of the State Auditor's Office to give our sincere commitment to both efficient management and equitable treatment of our employees. This policy statement represents commitment to an affirmative action program. We have developed an Affirmative Action Plan to help achieve our goal of equal employment opportunity.

Our policy is that equal employment opportunity be provided to all present and prospective employees regardless of race, color, religion, sex, national origin, age, physical disability or political affiliation. This policy applies to all levels and phases of personnel administration including, but not limited to, recruiting, hiring, training, promotions, transfers, benefits, compensation, layoffs, recall from layoffs and educational programs of the Agency.

In order to avoid any vestiges of discrimination, we have developed an affirmative action plan to help us achieve our equal employment opportunity goals.

The Director of Administration is assigned overall responsibility for implementation of our Affirmative Action Plan, including development and monitoring of specific goals and timetables. This affirmative action program, as periodically amended, will remain in effect until such goals are achieved. Full cooperation is expected of all managers, supervisors, and other employees of this Agency.

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Section VI-F

Revised 10/2/00

F. RECRUITMENT AND SELECTION

1. Policy

It is the policy of the State Auditor's Office that all employees be afforded the opportunity to apply for new or vacant positions. Vacancies shall be posted on the bulletin board and SC jobs web page on the internet. Employees shall not be discouraged from applying for vacant positions. Likewise, employees shall not be adversely affected in any way as a result of expressing an interest in career development. Management is ultimately responsible for selection.

2. Responsibilities

All recruitment and selection activities shall be coordinated with the Director of Administration, who is responsible for ensuring that all personnel related legal and reporting requirements are met.

3. Procedure

Interview and selection of audit positions shall be coordinated with the Director of Administration. It shall be the responsibility of the Director of Administration to monitor recruitment and selection and to be available for advice and counsel as may be needed.

4. Minimum Qualifications

It is the policy of the State Auditor's Office to select qualified applicants for job openings. Candidates for employment must meet the state minimum requirements for the class as well as any additional qualifications which have been determined by the agency to be necessary to perform the duties of the specified position.

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Section VI-G

Revised 11/1/09

G. Reduction in Force

1. Purpose and Scope

The purpose of this policy is to prescribe the manner in which covered employees in State government are released in an equitable manner should a reduction in force become necessary. A reduction in force may require the separation, involuntary demotion, reassignment, or reduction in work hours of the Agency's covered employees. A reduction in force does not apply to non-covered employees (e.g., probationary employees, temporary employees, temporary grant employees, time-limited project employees, research grant employees and employees exempt from the State Employee Grievance Procedure Act).

The Agency may implement a reduction in force for one or more of the following four reasons:

- a. Reorganization;
- b. Work Shortage; or
- c. Loss of Funding; or
- d. Outsourcing/Privatization.

2. Management Decisions

The Agency shall determine the following items prior to developing the reduction in force plan:

- a. What is the reason(s) for the reduction in force;
- b. What areas(s) of the agency are to be impacted by the reduction in force [Competitive Area(s)];
- c. What State class title(s) within the competitive area(s) are to be affected [Competitive Group(s)]; and
- d. How many positions in each State class title(s) are to be eliminated?

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3. Competitive Area(s)

The Agency shall determine the competitive area(s) the reduction in force will impact. The Agency should establish a competitive area that is clearly distinguishable from the staff in other areas and where the interchange of employees would not be practical. This competitive area may be the entire agency, a department, a unit, or a geographical location.

4. Competitive Group(s)

The Agency shall determine the competitive group(s) based on the State class title(s) within the competitive area(s) that the reduction in force will affect. If the reduction in force is to apply to more than one State class title, each State class title will be treated separately, except where the reductions are to be made in a State class title series (e.g., Auditor I, Auditor II, Auditor III, Auditor IV, Audits Manager I, Audits Manager II) or in State class titles that are part of the Agency's customary career path (e.g. Administrative Assistant, Communications Coordinator, Program Coordinator II, Program Manager I).

5. Position Identification

The Agency shall identify the position(s) within the competitive area(s) and competitive group(s) by identifying the following information:

- a. State Class Title;
- b. State Class Code;
- c. Pay Band, if applicable;
- d. Total number of positions in the State class title within the competitive area; and
- e. Total number of positions in the State class title within the competitive area to be eliminated.

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6. Retention Points

The Agency shall calculate retention points for covered employees in the competitive area(s) and competitive group(s) to be used in determining which covered employees are to be involuntarily demoted, reassigned, have reduced hours or separated. Retention points shall be based on the total scores of the two most recent annual performance appraisals and the length of continuous State service. The sum of the retention points for performance and length of continuous State service are the total retention points that an employee uses in the competition.

a. Performance Appraisal Points

The Agency will determine the total score for an annual performance rating by using the following numerical values assigned to the EPMS performance ratings.

Exceptional	3
Successful	1
Unsuccessful	0

For any year in which the employee does not receive an actual evaluation with a rating, the employee will receive a Successful rating for that year; however, if in the previous year, the employee received a higher than Successful rating the employee will receive the points for the higher rating.

b. Continuous State Service Points

Covered employees will receive one retention point for each year of continuous State service after completion of a 12-month probationary period. Six months or more of continuous State service will be considered as one year of service and less than six months of service will receive no retention points.

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Section VI-G

c. Exception to Procedure for Retention Point Calculation

If every position in the competitive area is being eliminated, the agency is not required to calculate retention points. For positions reestablished within one year of the RIF, in the same competitive area and in the same state class title, the agency must calculate retention points at the time of recall. The agency must calculate retention points using continuous state service and performance appraisal points based on the effective date of the reduction in force.

7. Sequence of Reduction in Force

The order of the reduction in force of covered employees in each State class title(s) shall be determined by the total number of retention points for each employee. If two or more employees affected by a reduction in force have the same number of retention points and not all are to be affected by the reduction in force, the agency hire date will determine the order of the employees affected. The covered employee with the earlier agency hire date will be retained. If after using the agency hire date to determine the order of affected employees a tie still exists, the agency will use a computer generated random number method to break the tie. The employee with the lowest position number will be assigned the first random number. If there are more than two employees tied, random numbers will be selected in position number sequence. If possible, employees with tie scores will be present for the breaking of the tie. The employee(s) that is assigned the lower random number(s) will be retained.

Bumping rights are provided for covered employees who have accumulated more retention points than those with whom they are competing. Under no circumstances can an employee gain from a reduction in force. Bumping rights are provided only downward.

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8. Retention of Necessary Qualifications

No employee with a lower number of retention points shall be retained in preference to another employee in a competitive area(s) and group(s) with a higher number of retention points except when the Agency determines that a Retention of Necessary Qualifications applies.

If an employee is competing for a position that is not being eliminated and the Agency asserts that an employee with higher retention points who has rights to be placed in that position cannot satisfactorily perform the duties of the position within a reasonable training period, the employee with lower retention points may be retained in preference to the employee with higher retention points. The Agency may determine that the employee with higher retention points will not be able within a reasonable training period to satisfactorily perform the duties of the job based on the lack of knowledge, abilities, skills, supervisory responsibilities, or necessary experience.

When a Retention of Necessary Qualifications is used in a reduction in force plan, justification for this retention must be documented and approved by the Agency prior to submitting the reduction in force plan to the Budget and Control Board's Office of Human Resources (Office of Human Resources) for review and approval for procedural correctness. The Agency should retain documentation to support any retentions made on this basis.

9. Writing the Reduction in Force Plan

Once the Agency has made the decisions outlined above and prior to the implementation of a reduction in force, the Agency Director or his designee shall develop the reduction in force plan. This plan must include the following:

- a. The reason for the reduction in force;
- b. The identification of the competitive area(s);
- c. The identification of the competitive group(s) [State class title(s)];
- d. The number of position(s) to be eliminated in each State class title;
- e. A list of the covered employees, in order of retention points, in the competitive area(s) and competitive group(s) to include the following:
 1. Name;
 2. Age, Race, and Gender; and
 3. Retention Points;

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- f. Justification of any Retention of Necessary Qualifications used in the reduction in force plan; and
 - g. The Agency's efforts to assist employees affected by the reduction in force.
10. Approval Process

Once the reduction in force plan has been completed, the Agency shall submit the following information to the Office of Human Resources for review and approval for procedural correctness:

The reduction in force plan as outlined in Section VI;

- a. An organizational chart including each position (designated with the State class title and incumbent's name) within the competitive area(s);
 - b. A copy of the Agency's reduction in force policy; and
 - c. A sample letter to employees affected by the reduction in force including information as outlined in Section XI, along with:
 - 1. A list of the employee's recall and reinstatement rights;
 - 2. The Agency's procedure for the recall of an employee; and
 - 3. The employee's grievance rights.
11. Implementation of the Reduction in Force

The Agency shall communicate the following information to each affected employee after the Office of Human Resources approves the reduction in force plan for procedural correctness and before the reduction in force becomes effective:

- a. The reason for the reduction in force;
- b. The competitive area(s) and competitive group(s) in which the employee competed;
- c. The benefits to which the employee is entitled and the manner in which the reduction in force will affect the employee's State benefits, (e.g., health insurance, optional life insurance, retirement);
- d. The employee's reinstatement rights, (e.g., reinstatement of all sick leave; option of buying back all, some, or none of the annual leave at the rate at which it was paid out);
- e. The employee's recall rights to any position, within the competitive area, that becomes available in the same State class title as the position the employee held prior to the reduction in force;
- f. The manner in which the Agency will notify the employee of any such vacancies; and

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- g. The requirements of S.C. Code of Laws Ann. Section 8-11-185, which requires the Agency to report information about the employees separated in a reduction in force to the Office of Human Resources.

12. Recall and Reinstatement Rights

An employee affected by a reduction in force has recall and reinstatement rights to a position in State government for one year after the effective date of the reduction in force.

a. Recall Rights

If a vacancy occurs within the competitive area which is in the same State class title as the position the employee held prior to the reduction in force, the Agency will recall employees in the inverse order of the reduction in force. The Agency will notify the employee in writing of the job offer and recall rights. If the employee does not accept the job offer within ten days, the employee's recall rights are waived. Should the employee accept the job offer, the Agency will reinstate the employee's accumulated sick leave, and will provide the employee the option of buying back all, some, or none of his annual leave at the rate it was paid out at the time of the separation. Upon returning to employment in an insurance eligible Full-Time Equivalent (FTE) position, the employee will also be offered insurance benefits as a new hire. The recalled employee may purchase retirement service credit under the leave of absence provision in Section 9-1-1140(D) for the period of time that the employee was not employed by state government, at the cost specified in Section 9-1-1140(D). When an employee is recalled, this time will not be considered punitive in the determination of retiree insurance eligibility.

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Section VI-G

b. Reinstatement Rights

An employee separated by a reduction in force may apply for any State job for which he meets the minimum training and experience requirements. Should the separated employee accept a job offer to an FTE position, the Agency will reinstate the employee's accumulated sick leave, and will provide the employee the option of buying back all, some, or none of his annual leave at the rate it was paid out at the time of the separation. Upon returning to employment in an insurance eligible Full-Time Equivalent (FTE) position, the employee will also be offered insurance benefits as a new hire. The reinstated employee may purchase retirement service credit under the leave of absence provision in Section 9-1-1140(D) for the period of time that the employee was not employed by state government, at the cost specified in Section 9-1-1140(D). When an employee is reinstated, this time will not be considered punitive in the determination of retiree insurance eligibility.

13. Grievance Rights

A covered employee who is affected by a reduction in force has the right to file a grievance to the Agency and an appeal to the State Human Resources Director only if the grievance or appeal is based on improper or inconsistent application of a reduction in force policy or plan.

EMPLOYMENT

Section VI-H

Revised 7/26/12

H. Employee Referral Bonus Program

1. Purpose

The purpose of the Employee Referral Bonus Program is to provide an incentive award to a current employee in a full-time equivalent (FTE) position who brings new talent to the Office by referring applicants who are subsequently selected and successfully employed in an auditor position.

2. Eligibility and Participation

- a. Applicant - Applicants are persons not currently employed with the Office of the State Auditor.
- b. Referring Employee - All employees in FTE equivalent positions are eligible to receive a referral bonus with the exception of the following:
Directors
Audit Managers
Deputy State Auditor
- c. Positions – Auditor positions are the only ones eligible for this program.

3. Referral Bonus Amount

- a. The Referral Bonus Program is operated under the authority of the Budget and Control Board's Employee Bonus Guidelines. Under these guidelines, an employee may receive multiple bonuses, the total of which may not exceed \$2,000 in any fiscal year.
- b. Referral bonus payments will be paid in lump sums as follows:
 - \$500 referral bonus awarded after the referred candidate has been employed for one month.
 - \$500 referral bonus awarded at the end of the probationary period.

4. Referral Bonus Program Administration

The Referral Program operates in accordance with the following program requirements:

- a. Referral bonuses are awarded at the discretion of management with the State Auditor or his designee having final approval authority.
- b. Bonuses are awarded only when funding for the program exists in the budget of the Office of the State Auditor. The program may be terminated at any time by the State Auditor or his designee if funds are not available to award the bonuses.
- c. The referring employee will provide a written statement along with the applicant's application indicating that the referring employee has made the referral. Also, the referral will be confirmed in writing with the new employee.

EMPLOYMENT

Section VI-H

- d. The new employee must be employed by the agency for at least one month before the referring employee will be eligible to receive the referral bonus.
- e. Referred candidates cannot be current employees of the Office of the State Auditor in any capacity, to include temporary or contract employees. Both the referring employee and the referred employee must be employed by the agency at the time the bonus is awarded.
- f. Any disputes arising from the application of this program will be the responsibility of the State Auditor or his designee to resolve and will not be considered a grievance under the State Employee Grievance Procedure Act.
- g. The Director of Administration will monitor the use of the Referral Bonus Program and will report annually to the Office of Human Resources information on the use of the Referral Bonus Program.
- h. The hiring process will be fair and consistent with agency policy and procedures, with no bias for or against candidates whose selection might make another employee eligible for a referral bonus.

STAFF DEVELOPMENT AND TRAINING

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Section VII-A

Revised 7/1/04

A. PROFESSIONAL TRAINING

Attendance at office sponsored training is generally mandatory for the target audience.

In the event of absence from office sponsored training, make up of any shortage of hours to meet Board of Accounting and/or Governmental Auditing Standards requirements is the responsibility of the individual. Such makeup is on personal time and at personal expense. In the event of extended illness or other unusual circumstances, Audit Directors may approve substitute training as official time rather than annual leave.

Office time for professional training outside the office will be granted only with prior written approval of a Director of Audits. This approval will be given only for attendance at training relevant to an auditor's specific responsibilities and not available through in-house courses.

Costs associated with outside training will be reimbursed only with prior written approval of a Director of Audits.

Please notify the Director of Research and Training of any CPE hours earned outside of our office whether on TR or AL time.

STAFF DEVELOPMENT AND TRAINING

Section VII-B

Revised 07/26/12

B. TUITION ASSISTANCE PROGRAM

The purpose of the Tuition Assistance Program is to enhance employees' productivity and knowledge and to develop a better educated workforce. The program shall be governed by guidelines and procedures as listed below:

1. Guidelines
 - a. Only full-time employees of the State Auditor's Office are eligible for tuition assistance. Temporary and temporary grant employees are not eligible to participate in this program.
 - b. The State Auditor's Office may limit or change the parameters of the program based on financial and staffing considerations.
 - c. Tuition assistance may be provided for no more than six credit hours per academic term per employee.
 - d. Employees who participate in the program are required to work the normal number of hours in their work schedule. Management may accommodate variable work schedules for employees and/or allow them to use annual leave to accommodate class schedules. However, such schedules shall not interfere with the services of the agency. Employees must obtain prior approval for time off and/or variable work schedules from their supervisors in accordance with the policies of the State Auditor's Office.
 - e. Tuition assistance will be provided only to employees who are accepted for admission and attend accredited South Carolina institutions of higher learning. The official first day of classes for the course must be subsequent to the first day of employment with the State Auditor's Office. Employees must bear any associated costs of the application and acceptance process. Courses must be taken for academic credit, but do not have to be taken toward the completion of a degree. Courses subsidized through this program must have a direct relationship to your current job requirements or to career development opportunities within S.C. Government.
 - f. Employees must pass the course(s) taken with a least a "C" to have tuition costs reimbursed. This does not apply to courses required by the agency.
 - g. Fifty per cent of tuition and lab fees will be reimbursed not to exceed \$4,500 per fiscal year. Book costs and any other fees will not be paid unless the agency requires the employee to take the course. For an employee to be reimbursed, an official copy of the grade and a receipt of payment to the respective institution must be submitted to Administration no later than 30 calendar days after course completion.

STAFF DEVELOPMENT AND TRAINING

Section VII-B

Revised 07/01/05

- h. Tuition assistance is not available to employees receiving allowances from any other official sources, including veterans' benefits, scholarships, grants-in-aid, etc.
- i. Participation in the Tuition Assistance Program will not be subject to appeal or review outside the agency. Selection will be non-discriminatory.
- j. Current regulations of the Internal Revenue Code require that certain criteria be met in order for the plan to qualify as nontaxable to the employee. The determination of whether a plan meets the exclusion criteria will be made at the time of the request for reimbursement. Generally, undergraduate courses meet the criteria and graduate courses do not.
- k. Participation in this program must be approved by the employee's manager prior to starting classes. See [Appendix G](#)
- l. Tuition assistance is dependent on the availability of funds and may be suspended in fiscal years with limited funding.

WORK PLACE ENVIRONMENT

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Section VIII-A

Revised 7/1/04

A. SEXUAL HARASSMENT POLICY

1. Policy

It is the policy and the position of the State Auditor's Office that all employees should be able to work in an environment free of any type of harassment; and acts of sexual harassment by employees, supervisors, and managers, are prohibited employment practices and are subject to sanctions and disciplinary measures. The purpose of this policy is to define types of prohibited sexual harassment conduct and to establish procedures for the reporting and investigating of such conduct by an employee of this agency.

2. Legal and Behavioral Definitions

Sexual harassment is defined as unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature, when

- a. Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment;
- b. Submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual;
- c. Such conduct has the purpose or effect of substantially interfering with a person's work performance or creating an intimidating, hostile or offensive work environment.

Prohibited acts of sexual harassment can take a variety of forms ranging from subtle pressure for sexual activity to physical assault. Examples of the kinds of conduct included in the definition of sexual harassment are:

- a. Threats or intimation of sexual relations or sexual contact which is not freely or mutually agreeable to both parties;
- b. Continual or repeated verbal abuses of a sexual nature including graphic commentaries on the person's body; sexually suggestive objects or pictures placed in the work area that may embarrass or offend the person; sexually degrading words to describe the person, or propositions of a sexual nature.

WORK PLACE ENVIRONMENT

Section VIII-A

- c. Threats or insinuations that the person's employment, wages, promotional opportunities, job or shift assignments, or other conditions of employment may be adversely affected by not submitting to sexual advances.

3. Procedure

When an employee feels that he/she may have been a victim of sexual harassment, he/she should discuss the matter with his/her immediate supervisor, an appropriate person upward in the chain of command, and/or the Director of Administration. If the employee concludes that he/she has been sexually harassed, he/she should take the following steps:

- a. Complete a sexual harassment complaint form. See [Appendix E](#).
- b. Review form for completeness. Make sure to include the name(s) of person(s) accused of wrongdoing and any witnesses whose testimony will support the complaint.
- c. To ensure confidentiality, do not discuss the complaint with persons other than the immediate supervisor, an appropriate person upward in the chain of command, or the Director of Administration.

4. Agency Investigation

The State Auditor's Office will thoroughly investigate all sexual harassment complaints in a confidential manner. The investigation will include questioning of any witnesses and the individual(s) accused of wrongdoing to afford them the opportunity to respond to the allegations of the complaint. The investigation shall be concluded in an expeditious fashion. The investigating authority shall collect, record and safeguard all information and/or evidence relative to the incident and report findings to the State Auditor for final disposition.

5. Agency Disciplinary Action

Appropriate disciplinary action will be taken by the State Auditor's Office for complaints that are determined to be sexual harassment. Appropriate disciplinary action will be taken based on the facts, on a case by case basis, up to and including dismissal. See Section IV-E.

WORK PLACE ENVIRONMENT

Section VIII-B

B. SAFETY BELT POLICY

The State has the responsibility to protect the lives of employees performing State Business, and it is in the interest of all State employees to protect themselves and others in State-owned vehicles against death, injury and economic loss.

Therefore, all employees shall wear a safety belt at all times when operating or being transported as a passenger in a State-owned vehicle equipped with safety belts. It shall be each occupant's responsibility to insure compliance with the State's safety belt policy.

All employees are encouraged to use safety belts when traveling in a private vehicle.

WORK PLACE ENVIRONMENT

Section VIII-C

Revised 6/30/03

C. DRUG-FREE WORKPLACE

The State Auditors Office recognizes alcohol and drug abuse as potential health, safety, and security problems. This office expects all employees to assist in maintaining a work environment free from the effects of alcohol, drugs, or other intoxicating substances. Compliance with this substance abuse policy is made a condition of employment.

1. The State Auditor's Office prohibits employees from the manufacture, possession, use, distribution, or purchase of nonprescribed drugs and intoxicants on State Government premises and from working under the influence of alcohol, illegal drugs or intoxicants during working hours.
2. All employees are required to report to their jobs in appropriate mental and physical condition, ready to work. If an employee may be impaired because of taking medication according to a doctor's prescription, he/she is expected to discuss it with his/her supervisor before commencing work that day.
3. Any employee who is convicted of a violation of any criminal drug statute (including misdemeanors for a violation occurring on State property or during working time) shall notify the Director of Administration within five (5) days of the date of conviction. A conviction includes any finding of guilty (including one agreed to by the employee) or plea of no contest and or any imposition of a fine, jail sentence or other penalty.
4. Any violation of this substance abuse policy will result in discipline, up to and including discharge, under the progressive discipline policy. See Section IV-E. Note: In State service, alcoholism is recognized as a treatable illness. No State employee with the problem of alcoholism shall be disciplined prior to receiving the same careful consideration and offer of assistance that is extended to employees having any other illness.
5. Employees who have an alcohol or drug abuse problem are strongly encouraged to use one of the employee assistance programs available to State employees. The Director of Administration can provide employees with information regarding employee assistance programs. If an alcohol or drug abuse problem recurs after an employee has completed an assistance program, the State Auditor's Office will take appropriate action in accordance with State Government policy. The State Auditor's Office retains full and final discretion on whether, when, and under what conditions an employee may be reemployed after an instance of substance abuse.

WORK PLACE ENVIRONMENT

Section VIII-D

Revised 06/30/03

D. APPROPRIATE DRESS

The State Auditor's Office Audit Manual, I-A, 8-1 states, **"...and in the way you dress. You are working in a professional organization and should conduct yourself accordingly."** All staff are urged to use good taste, prudent judgment and conservatism when determining what is appropriate dress for each of the three levels of dress discussed below – i.e., business attire, corporate casual attire and casual attire.

1. Business Attire

Normal business attire is defined as business suit or blazer/sports coat and dress slacks, dress shirt and tie for men; and, business suit, business dress, or blazer with blouse/sweater and dress slacks for women.

2. Corporate Casual

When staff will be in the office, appropriate attire will include casual slacks or skirts, sports shirts and/or sweaters worn with socks and shoes appropriate to the workplace. Normal business attire should be worn if a business meeting is expected either in the office or at an agency.

When staff is working at an agency, follow the lead of the agency. That is, if the agency observes corporate casual workdays, the audit staff may do so, utilizing our definition of corporate casual attire. The audit manager on each engagement will make this decision early in each engagement after determining the agency's practice.

This level is appropriate dress for the administrative staff at all times.

3. Training Casual

When attending daylong in-house CPE programs, casual attire is appropriate unless the program announcement specifies a different level of dress.

WORK PLACE ENVIRONMENT

Section VIII-D

When attending other CPE programs, be guided by common sense, conservatism and any guidelines published by the sponsoring organization in the registration materials.

4. Summary

The staff of the State Auditor's Office is expected to apply professional judgment in all facets of daily work assignments. If the same professional approach used in choosing audit procedures, making materiality decisions and forming audit conclusions is applied to choosing appropriate attire in any given situation, you will always be dressed appropriately. You will always appear more professional if you are over dressed for an occasion than if you are under dressed.

Any questions concerning interpretation or application of these guidelines are to be addressed to the appropriate director.

Audit Managers are expected to Counsel any individual staff members who report to them if an unacceptable level of corporate casual is noted.

WORK PLACE ENVIRONMENT

Section VIII-E

Revised 6/30/03

E. SMOKE-FREE WORKPLACE

The State Auditor's Office recognizes the needs of non-smokers to be free from exposure to tobacco smoke while at work. Therefore, all areas of the State Auditor's Office are designated as smoke-free. It is against the policies of this agency to possess lighted smoking material in any form in the indoor areas of the office.

TRAVEL AND SUBSISTENCE

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Section IX-A

Revised 1/29/09

A. TRANSPORTATION

The use of a State Fleet Management Motor Pool Vehicle automobile or reimbursement for the use of a personal car for overnight business travel normally requires not less than two (2) auditors per automobile. If circumstances prevent this, prior arrangements must be approved by the audit manager. Reimbursement for non-overnight travel to audit sites normally requires not less than three (3) auditors per automobile.

Any auditor may choose to drive his/her personal vehicle without reimbursement. The auditor-in-charge and the manager should be given prior notice.

Use of a State Fleet Management Motor Pool Vehicle automobile must be scheduled through the Administration Section of the Office of the State Auditor. State Fleet Management has granted a blanket certificate of non availability to our office. Therefore, mileage is reimbursed in full.

TRAVEL AND SUBSISTENCE

Section IX-B

Revised 1/29/09

B. TRAVEL DOCUMENTS

Documents shall be prepared by the individual then forwarded to the "In-Charge" for certification. The initials of the in-charge shall serve as certification that the times and dates are accurate and that the amounts are in compliance with state travel regulations.

The "In-Charge" shall forward the documents to the manager. The initials of the manager shall serve as certification that the travel was within stated office policy or that any deviation had prior approval. The manager has ultimate responsibility for compliance with Office policy.

An employee, who is a passenger in another's car on an out-of-town trip or vicinity trip, should indicate on the travel document, i.e. "rode with..."

All arrangements for direct billing for lodging shall be forwarded to Administration for finalization.

Travel reimbursement forms may be submitted at any time provided they total \$50.00 or greater. If you have travel of less than \$50.00 total please hold until the end of the month.

Any unreimbursed travel at June 30 will be processed in accordance with fiscal year cut off policies issued each June.

All travel reimbursement documents must comply with applicable state travel regulations.

TRAVEL AND SUBSISTENCE

Section IX-C

Revised 1/29/09

C. MILEAGE REIMBURSEMENT

Mileage reimbursement for travel on state business to a work site will be authorized from headquarters to the work site. Mileage reimbursement for travel from home to an out of town work site will be authorized only if it is a shorter distance than from headquarters to the work site. The most direct route practical should be used; any deviation from the distances shown on the current South Carolina Department of Transportation map must be explained. With Manager approval, reasonable mileage to pick up other staff members for an out of town business trip will be reimbursed.

Business travel in town greater than 10 miles each way will be reimbursed. Mileage between home and headquarters is not subject to reimbursement. Travel from home to the audit site will be reimbursed to the extent that the mileage exceeds normal commuting mileage plus 10 miles. (e.g., If the normal commute to the Office is 12 miles and the commute to the audit site is 24 miles, you can be reimbursed for 2 miles; $12 \text{ miles} + 10 \text{ miles} = 22 \text{ miles}$, $24 \text{ miles} - 22 \text{ miles} = 2 \text{ miles}$)

TRAVEL AND SUBSISTENCE

Section IX-D

Revised 1/29/09

D. REIMBURSEMENT FOR MEALS

In order to receive reimbursement for meals, documentation of "overnight stay away from home" must be evident. No reimbursement for overnight accommodations will be made within fifty (50) miles of the travelers official headquarters and/or residence.

Certification of "overnight away from home" on your travel reimbursement support document should indicate one of the following:

1. certification of direct billing
2. attached accommodation receipt
3. certification of other accommodations, i.e. "stayed with family," etc.

Meals will be reimbursed without overnight stay for travel beyond thirty (30) miles from your home or office, which ever is closer.

TRAVEL AND SUBSISTENCE

Section IX-E

Revised 1/29/09

E. DIRECT BILLING

Arrangements may be made for hotels or motels to bill directly for accommodations. These billings must have the prior approval from Administration. A form [Appendix H](#) for request for direct billing is available and should be completely filled out prior to the travel. All requests for direct billing should be coordinated with the Audit Manager/Supervisor and forwarded to Administration for processing.

Restriction on direct billing:

1. Only room accommodation may be direct billed. Any incidentals such as meals, telephone calls, etc., should be paid upon check-out and claimed on a travel voucher to the extent allowable under travel regulations.
2. Direct billing should not be requested for stays of less than one (1) week. An allowable exception to this is for a staff member who is on-site for less than one (1) week during an on-going out-of-town audit of more than a week. Any other exception must have the Manager's approval on the Request for Direct Billing form.

TELEPHONE SERVICES

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Section X-A

Revised 7/1/04

A. BUSINESS TELEPHONE USE

State government telephone facilities are for use in conducting official business. In addition, the following telephone calls are allowable under this policy at agency expense.

1. Calls to notify the family physician, etc., when an employee is injured on the job.
2. Calls to notify family of a schedule change when an employee traveling on state business is delayed because of official business or transportation delay.
3. An employee, traveling in the United States on state government business over two (2) or more consecutive nights, makes telephone calls to his/her residence, relatives, etc. using his/her State telephone credit card. The calls must not exceed a total of five (5) minutes for each two (2) consecutive nights in travel status. These calls must be reported on an attachment to the corresponding travel voucher.
4. An employee is required to work overtime without advance notice and calls to advise his/her family, relatives, etc. of the change in schedule or to make alternate transportation or child care arrangements.

TELEPHONE SERVICES

Section X-B

B. PERSONAL TELEPHONE USE

Personal telephone calls using the state telephone facilities are allowed under the following conditions.

1. If made during work hours, the calls must be brief and must not interfere with the employee's performance or the function of the Auditor's Office and State government, and
2. The calls must be local calls, toll-free calls, or charged to a personal number or credit card.

TELEPHONE SERVICES

Section X-C

C. POLICY VIOLATIONS

The use of state telephone facilities in violation of the above policy will result in disciplinary action as described in Section IV of the Policy & Procedures Manual.

PARKING

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Section XI-A

Revised 7/1/04

A. POLICY

Administration provides coordination of employee parking in the Vista Center, the Washington Plaza and in the State Parking Facilities. Employees must coordinate activities/changes with these facilities through Administration.

PARKING

Section XI-B

Revised 11/3/11

B. VISTA CENTER AND WASHINGTON PLAZA PARKING FACILITIES

1. The lease of office space in the 1401 Main Building includes a provision for parking spaces for our employees at \$20 per month per space. Employees who lease a space can pay the building management company directly each month or checks can be mailed by the office if the check is received before the fifth of each month for Washington Plaza and before the twenty seventh of the previous month for the Vista Center Parking. The lessee is liable for all charges incurred until such time use of the space is canceled. The spaces available are located in the Vista Center parking garage (roof level) on Assembly Street and Washington Plaza municipal garage on Washington Street. Checks are made payable to MS Joint Venture and may be mailed to EM&L, 1401 Main St., Suite 600 Columbia, SC 29201 (please note City Garage Parking on check). for the Washington Plaza. Checks are made payable to CB Richard Ellis (note the parking card number on check) and are mailed to PO Box 1837, Columbia, SC 29202.
2. Upon employment, an access card to the building will be issued. The access card is issued at no fee however, should the card be lost or stolen, a fee of \$15 will be required for a replacement card. A \$15.00 replacement fee also applies to Washington Plaza Parking if parking card is lost or stolen.
3. If parking fee for Vista Center is not received by the 10th of the month the card will be deactivated on the 11th. In order to reactivate the card all past due amounts must be paid in full and there will be a \$20.00 reactivation fee.

PARKING

Section XI-C

Revised 10/2/00

C. STATE PARKING FACILITIES

1. The Parking Services Office is located at the main entrance to the Furman E. McEachern, Jr. Parking Facility at the corner of Main and Pendleton Streets. The office is open from 7:00 a.m. to 6:00 p.m. Monday through Friday (except holidays). For assistance call 734-1616.
2. The McEachern Parking Facility is open from 7:00 a.m. to 6:00 p.m. Monday through Friday (except holidays). However, during the legislation session the main entrance/exit remains open until 11:00 p.m. In the event your vehicle becomes locked in the facility, contact the Capitol Police at 734-2422. Their office is located in the north corridor of the State Capitol Building. The Assembly Street Deck Facility is open from 6:45 a.m. to 9:00 p.m.
3. Parking spaces within the McEachern Parking Facility and the Assembly Street Deck Facility are individually assigned (reserved). Only those employees who work within the Capitol Complex vicinity are eligible to apply for space in either of these facilities. To apply for a reserved space, contact Administration. There is a monthly rental fee charged for reserved spaces. (Reserved space facilities, however, may not accommodate all sizes of vehicles.) Employees occupying reserved space may request a change in space assignment.
4. Parking spaces in the state-owned surface parking lots located near the Capitol Complex are for use only by those employees who work within the Capitol Complex vicinity. Only those employees who have obtained a parking permit may park in these parking lots. New State Parking Decals are issued every two years. To apply for a permit, contact Administration. Numbered permits must be affixed to registered vehicles and must be returned to the Parking Services Office when the vehicle is no longer used by the employee.
5. Violation of the parking regulations is punishable by fine, towing and/or revocation of your parking privileges. The following violations are punishable by fine and/or towing.

Exceeding the posted speed limit.

Violation of posted traffic rules.

Parking in areas not defined with white lines.

Parking in a NO PARKING zone.

Parking in a LOADING ZONE, or in a metered space in excess of the posted time limit.

PARKING

Section XI-C

Revised 6/3/99

Parking in spaces defined with yellow lines.
Parking more than one vehicle in a designated space, or otherwise parking improperly.
Parking in a space assigned to another person.
Parking in a permitted space parking lot without a valid permit.
Parking in a designated "Handicapped Space" without authorization.

6. You are given two (2) days to appeal a parking citation, in writing with a copy of the parking citation attached. It's important that the employee includes their name and phone number in the appeal letter and addressed to:
Julie Margo, Parking Manager
State Parking Services Office
1201 Pendleton Street
Columbia, SC 29201
FAX: 734-1997
7. Sub-leasing your assigned space to individuals who are not State employees and who do not work within the Capitol Complex vicinity is illegal. Violators will forfeit their reserved space.
8. Uniformed Reserved Police Officers (RPOs) routinely patrol the parking facilities and selected parking lots to serve as a deterrent to crime and to assist employees with parking-related problems. However, the State of South Carolina assumes no responsibility for damages, theft, vandalism or malicious mischief to any vehicle, or for bodily injury to any person in the parking facilities or parking lots operated by the Division of General Services.
9. Handicapped employees who work within the Capitol Complex vicinity and who require special parking accommodations should contact their Agency Parking Coordinator. There are only a limited number of parking spaces within the McEachern Facility available to accommodate handicapped employees visiting an agency in the Capitol Complex. Contact the Parking Services Office, in person, for help in authorization and finding a conveniently located space. Spaces designated for use by the handicapped may be occupied only by those vehicles bearing validated "handicapped" license plate or by vehicles displaying "handicapped" placards issued by the South Carolina Department of Transportation. This is in accordance with Section 56-3-1960 of the South Carolina Code of Laws. Violators are subject to a financial penalty.

PARKING

Section XI-C

Revised 6/3/99

10. Visitors conducting business within the Capitol Complex may find parking spaces provided on the 4th level of the Assembly Street Deck facility. There are ten (4-hour) metered spaces available for visitor use.
11. During a weather-related emergency, special procedures for exiting the McEachern Facility are put into effect. Obey the Reserved Police Officers directing traffic within the facility, and listen for instructions over the public address system during such an emergency.

PAPER RECYCLING PROGRAM

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Section XII-A

Revised 7/1/04

A. POLICY

The State Auditor's Office will recycle solid waste in compliance with the South Carolina Policy and Management Act of 1991, Section 44.96.140.

The recycling program will be confined to office paper including white bond, copier, computer, and green bar computer paper. All employees are asked to participate.

PAPER RECYCLING PROGRAM

Section XII-B

Revised 3/1/94

B. PROCEDURE

Each employee will be provided with a small blue plastic recycling container. The container is bright blue in color (for easy identification) stenciled with the recycling logo and the words "We Recycle." The small container will hold approximately five reams of paper. Larger size blue containers will be placed at several locations in the office. Only recyclable paper should be placed in the container. All paper clips, staples, and Post-it notes must be removed. Colored paper and all other trash should continue to be placed in the waste basket.

Each staff member will empty the containers when they are full into large collection containers located around the floor. All material that is recycled will be shredded by the vendor to ensure confidentiality. No special procedures, by staff, are needed with confidential or sensitive material. The vendor will pick up the paper as required.

INFORMATION SYSTEMS

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Section XIII-A

Revised 041/01/15

The Information Systems section of the Policies and Procedures Manual is superseded by the [Information Security Policy \(ISP\)](#). The ISP completed version is under construction.

A. GENERAL INFORMATION

The Office of the State Auditor (OSA) established this network to provide a set of common tools and resources to be used by employees to facilitate communications, to provide access to vital information resources, to share valuable network resources, and to facilitate work group activities. The network provides access to shared printers throughout the office. It also provides for file sharing. Documents, spreadsheets, databases, etc., are available for users to access if needed. Files can be made available to all users or just to specific users. The network also provides access to the Internet. A statewide e-mail system has been setup to provide for communications between State Government employees; the e-mail system also provides capabilities to send/receive e-mail to/from the Internet.

INFORMATION SYSTEMS

Section XIII-B

Revised 11/29/12

B. POLICIES

1. Installation of PC Hardware, Software and Peripherals

All installations, changes, and upgrades will be performed by the Network Administrator or his designee. Centralizing these functions ensures validity of software licenses (only licensed software is installed) and a virus-free environment. This also ensures installations are performed consistently throughout the network, thereby eliminating installs that are not compatible with network configuration files. Additionally, subdirectories are setup to ensure that data files will be backed up during routine network backups.

2. Inventory

An inventory of all hardware and software (including serial numbers, decal numbers, software release, etc.) is maintained. This inventory is maintained by OSA Administration.

3. Software Licenses

The software license agreements state that the software is to be installed on a single-user computer. Any employee who makes, acquires, or uses unauthorized copies of computer software may be disciplined as appropriate under the circumstances. The Office of the State Auditor does not condone the illegal duplication of software.

4. PC Audits

PC audits may be performed without advance notice. This would ensure that the OSA is operating legally with reference to PC software--that we have a software license for every piece of software that is installed on each of the OSA's PCs. Audits also apply to portable computers.

Employees will be held responsible for the violations, regardless of who performed the installations.

5. Personal Software

Personal software is permitted if it doesn't present incompatibilities with network configurations and aids in performing the job. However, the software must be installed by the Network Administrator or his designee and it will be required that your original diskettes and license be available for audit purposes.

INFORMATION SYSTEMS

Section XIII-B

6. Training

In order that users effectively use their software, training will be scheduled as deemed necessary.

7. E-Mail

Every employee who has a PC will have an E-mail account. Follow the guidelines set forth in the Acceptable Use Policy described in this document when sending E-mail messages.

8. Internet

You must follow the guidelines established in the Acceptable Use Policy (below).

Software may only be downloaded from the Internet with the approval of and under the direct supervision and within the approval of the Network Administrator or his designee. The possibility of downloading a virus and the impact on your workstation or the network could be harmful.

9. Security

You are responsible for the security of your user id and password. You are accountable for any actions that are taken with your user id and password. Therefore, you must **NOT** write your password down; do **NOT** tell anyone your password. Treat your password as you would your bank card "PIN."

Close all your software applications and log off the network at the end of each day. This will prevent unauthorized use of your system after hours.

INFORMATION SYSTEMS

Section XIII-C

Revised 11/29/12

C. ACCEPTABLE USE POLICY FOR THE NETWORK, THE INTRANET, AND THE INTERNET

1. General Principles

- a. Access to computer systems and networks owned or operated by the Office of the State Auditor imposes certain responsibilities and obligations on state employees and officials (hereinafter termed "users") and is subject to state government policies and local, state and federal laws. Acceptable use always is ethical, reflects honesty, and shows restraint in the consumption of shared resources. It demonstrates respect for property, ownership of information, system security mechanisms, and the individual's rights to privacy and freedom from intimidation, harassment, and unwarranted annoyance.
- b. Users may be subject to limitations on their use of the networks as determined by the Network Administrator.
- c. Use of network services provided by the Office of the State Auditor may be subject to monitoring for security and/or network management reasons. Users of these services are therefore advised of this potential monitoring and agree to this practice.
- d. Users who violate any copyright declarations are acting outside the course and scope of their employment or other authority and the Office of the State Auditor is relieved of any legal responsibility therefore. Users will be personally responsible and liable for such infringing activities.
- e. By participating in the use of networks and systems provided by this office, users agree to be subject to and abide by this policy for their use. Willful violation of the principles and provisions of this policy may result in state disciplinary action.
- f. This document will be updated on an as-needed basis.

2. Specific Provisions

- a. Users shall:
 - 1) Use the network only for official state business and access only files and data that are their own, that are publicly available, or to which they have authorized access.

INFORMATION SYSTEMS

Section XIII-C

- 2) Refrain from monopolizing systems, overloading networks with excessive data or wasting computer time, connect time, disk space, printer paper, manuals or other resources.
 - 3) Protect their user ID and system from unauthorized use.
 - 4) Assume responsibility for any charges associated with billable services unless appropriate authorization has been obtained.
- b. Users shall not:
- 1) Use the networks for illegal, unlawful, or immoral purposes or to support or assist such purposes. Examples of this would be the transmission of violent, threatening, defrauding, obscene or otherwise illegal or unlawful materials.
 - 2) Use mail or messaging services to harass, intimidate or otherwise annoy another person.
 - 3) Use the networks for private, recreational, non-public purposes including the conduct of personal commercial transactions.
 - 4) Use the networks for commercial or partisan political purposes.
 - 5) Use the networks or other state equipment for personal gain such as selling access to a user ID or by performing work for profit with state resources in a manner not authorized by the this office.
 - 6) Use the network to disrupt network users, services or equipment. Disruptions include, but are not limited to, distribution of unsolicited advertising, propagation of computer "worms" and viruses, and sustained high volume network traffic which substantially hinders others in their use of the network.
 - 7) Attempt to circumvent or subvert system or network security measures.
 - 8) Intercept network traffic for any purpose unless engaged in authorized network administrative duties.
 - 9) Make or use illegal copies of copyrighted software or other mediums, store such copies on state systems, or transmit them over state networks.

INFORMATION SYSTEMS

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- 10) Log on to network with any ID or password other than your own.

INFORMATION SYSTEMS

Section XIII-D

Revised 6/14/12

D. ACCESS/SECURITY OF INFORMATION

The Office of the State Auditor is committed to the responsible use of all information that is made available to us through our role as auditors. Our Office is routinely given full access to secure information systems. Staff members of this Office are not authorized to access any information that is not pertinent or relevant to the audit and/or other engagement on which he or she is currently working. Willful violation of this policy is subject to our progressive disciplinary policy (See Section IV) and may result in disciplinary action up to and including dismissal.

INFORMATION SYSTEMS

Section XIII-E

Revised 6/14/12

E. PRIVACY AND DATA PROTECTION

The Office of the State Auditor is committed to the responsible use of personal information. The purpose of this policy is to safeguard personal information and to prevent any unlawful use of such information. The responsible use of personal information requires that the Office of the State Auditor respect individual privacy, protect against identity theft and other unauthorized uses, and comply fully with all laws and government regulations in the collection, use, storage, display, distribution and disposal of such information.

In order to protect personal information, every employee of the Office of the State Auditor must exercise due diligence in protecting all information used, stored or transiting the office environment, including the personal information stored on personal computers, portable electronic devices, and the computer network. Each employee must take proactive steps to prevent inadvertent disclosure of personal information or unauthorized access to personal information.

Personal information includes, but is not limited to, personal information collected from employees and personal information collected in the process of conducting audits. Other than as required by laws that guarantee public access to certain types of information, or in response to subpoenas or other legal instruments that authorize disclosure, personal information is confidential and must not be disclosed.

Personal information must not be stored on portable electronic devices, such as notebook computers, portable flash drives, compact disks, etc. Printed documents containing personal information must be maintained in a secure location at all times.

Definitions:

Personal Information

Personal information includes, but is not limited to, "personal identification information" and "protected health information." Personal information does not include information that is encoded or anonymized. Personal information does not include publicly available information that is lawfully made available to the general public from federal, state, or local government records or widely distributed media.

INFORMATION SYSTEMS

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Protected Health Information

Any information that is created or received by a health care provider, health plan, public health authority, employer, life insurer, school or university, or health care clearing house; and relates to past, present, or future physical or mental health or condition of an individual; the provision of health care to an individual; or the past, present or future payment for the provision of health care to an individual.

Personal Identification Information

Information that consists of an individual's first name or initial and last name in combination with any one or more of the following data elements, when the data element is not encrypted, redacted or secured by any other method rendering the element unreadable or unusable:

- a) The individual's social security number or six or more digits of the number.
- b) The individual's driver license number.
- c) The individual's financial account number or credit or debit card number in combination with any required security code, access code or password that would permit access to the individual's financial account.

STATE AUDITOR'S OFFICE

PHYSICIAN'S STATEMENT

TO WHOM IT MAY CONCERN:

This is to state that _____ is under my care. The estimated dates that he/she will be unable to work are from _____ to _____. If it becomes necessary to extend these dates, I understand an amended statement must be submitted for additional leave to be approved.

Date

Physician's Signature

STATE AUDITOR'S OFFICE
REQUEST FOR DISABILITY LEAVE

I hereby request disability leave from _____ to
_____.

A Physician's Statement certifying these dates is attached. It is my understanding that leave will be approved only for the period of disability as defined by the Physician's Statement. I understand that I am expected to return to work immediately after release by my physician or forfeit my right to reemployment.

Leave taken under this section may qualify for FMLA and if so will run concurrently not to exceed 12 weeks.

If the dates on the attached Physician's Statement must be extended for medical reasons, it is my understanding that an amended Physician's Statement must be submitted prior to the expiration of the leave and an extension approved by the State Auditor. The State Auditor may request additional medical opinions or additional information from the physician.

I would like to use the following accrued leave during this time:

_____ Accrued Sick Leave
(Must be used before leave without pay can be approved)

_____ Accrued Annual Leave
(Part or all leave credits may be used prior to requesting leave without pay)

Employee Signature

Date

Supervisor's Signature

Date

State Auditor

Date

OFFICE OF THE STATE AUDITOR

LEAVE TRANSFER REQUEST FORM

Name _____

Class Code _____ - Title _____

Leave Balance Annual _____ as of _____
Date

Sick _____ as of _____
Date

Number of Hours Requested: Annual _____ Sick _____

Provide a description of the nature, severity, hardship and anticipated duration of the medical, family or other hardship situation:

Requested Dates:

Beginning _____ 20 _____ Ending _____ 20 _____
Month Day Hour Month Day Hour

Signature of Employee _____ Date _____

Signature of Supervisor _____ Date _____

Number of hours of leave approved: Annual _____ Sick _____

State Auditor

* * * * *

FOR ADMINISTRATION USE ONLY:

Approved by Department of Human Resource Management

Date _____ Annual _____ Sick _____

Amount of Leave Transferred Annual (65) _____ Sick (66) _____

Amount of Leave Used Annual _____ Sick _____

Amount of Leave Restored Annual (67) _____ Sick (68) _____

Date Personal Emergency or Employment Terminates _____

OFFICE OF THE STATE AUDITOR

EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM

Name _____ SSN (last 4 digits) _____

Agency _____ State Auditor's Office _____

Date Assigned to Current Position _____

Position/Classification Title _____

State Employment Date _____

Performance Period From _____ to _____

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PLANNING STAGE ACKNOWLEDGMENT: REVISED 01/2010

Rating Officer _____ Date _____

Reviewed By _____ Date _____

Employee _____ Date _____

(Signature of employee indicates the Planning Stage and Position Description were reviewed with the employee.)

EVALUATION STAGE ACKNOWLEDGMENT

Rating Officer _____ Date _____

Reviewed By _____ Date _____

Reviewing Officer Comments _____

Employee _____ Date _____

(My signature indicates that I was given the opportunity to discuss the official performance review with my supervisor - not that I necessarily agree.)

Employee Comments _____

INSTRUCTIONS

The Planning Stage

Job Functions - The supervisor, utilizing suggestions from the employee, shall select job duties from the employee's most recent position description and develop success criteria for each duty.

Objectives - This section allows the supervisor to include any additional special projects or program assignments that are not on the position description but that are assigned to the employee during the rating period. Objectives are optional, but if used, success criteria are required for each objective.

Performance Characteristics - Performance characteristics and their definitions should be directly related to the employee's job and may be selected by the supervisor and the employee from a list developed by the Office of Human Resources. All management and supervisory employees are required to be reviewed on "promoting equal opportunity."

The supervisor should meet with the employee to discuss the position description and how it relates to the job functions and objectives for the upcoming year. After this discussion, the supervisor shall complete the planning stage of the document. Prior to discussing the completed planning stage with the employee, the supervisor will present the final document to the reviewing officer for signature. The supervisor will then meet with the employee to review the final plans for the year and obtain the employee's signature. The completed planning document should be maintained by the agency to be used as the evaluation document at the end of the review period.

The Evaluation Stage

The supervisor will complete the evaluation document based on the employee's performance for the entire year. Using the three levels of performance outlined below, job functions and objectives shall be rated on how well the employee has met the success criteria as outlined in the planning stage. Performance characteristics will be rated "pass" or "fail" based on the definitions which were communicated to the employee in the planning stage. The characteristics shall be used as a communication tool and shall not be weighed in the determination of the overall performance rating.

Three Levels of Performance

(To rate job functions, objectives and overall performance)

Exceptional Performance Requirements - Work that is above the success criteria for the job throughout the rating period.

Successful Performance Requirements - Work that meets the success criteria for the job.

Unsuccessful Performance Requirements - Work that fails to meet the success criteria of the job.

(Performance characteristics will not be rated with the three levels of performance. They should be rated as "pass" or "fail.")

Overall EPMS performance in the State Auditor's Office will be on a weighted factor basis. During the planning stage, the supervisor and employee will determine the weight (the degree of critical importance) assigned to each duty, and objective of the position. Performance characteristics shall not be weighed in the determination of the overall rating. This will clearly identify to the employee what is important to success in the position and where the employee should place the most attention. The weights assigned to each of the individual items will be expressed as percentages and should total 100%.

At the conclusion of the performance review period, each duty or objective should be assigned a "1" for Unsuccessful, a "2" for Successful, a "3" for Exceptional. By multiplying each "weight" assignment by the number corresponding to the performance level, adding the resulting numbers and dividing the total by 100, an overall performance rating level can be determined by the use of the following Performance Table.

	<u>Range</u>
Exceptional Performance Requirements (E) – 3	2.5 and above
Successful Performance Requirements (S) – 2	2.4 to 1.5
Unsuccessful Performance Requirements (U) – 1	1.4 and below
Pass (P)	
Fail (F)	

Once the supervisor has completed the evaluation document, it will be presented to the reviewing officer for signature. The supervisor will then schedule a meeting with the employee to discuss his/her performance and to obtain the employee's signature on the evaluation document. The evaluation must be completed prior to the review date to be timely.

JOB FUNCTIONS

	Weight	Performance Level
1. Job Function (Job Duty/Success Criteria):	_____	_____
2. Job Function (Job Duty/Success Criteria):	_____	_____
3. Job Function (Job Duty/Success Criteria):	_____	_____
4. Job Function (Job Duty/Success Criteria):	_____	_____

JOB FUNCTIONS

5. Job Function (Job Duty/Success Criteria):

OBJECTIVES SECTION
(Optional)

	Weight	Performance Level
1. Objective (Include Success Criteria):	_____	_____
2. Objective (Include Success Criteria):	_____	_____

ACTUAL PERFORMANCE

PERFORMANCE CHARACTERISTICS

Pass/Fail

1. **Characteristic:**

Definition:

2. **Characteristic:**

Definition:

3. **Characteristic:**

Definition:

OFFICE OF THE STATE AUDITOR
SEXUAL HARASSMENT COMPLAINT FORM

EMPLOYEE COMPLAIN FORM

Name _____ Job Title _____

Name of Immediate Supervisor _____

STATEMENT OF COMPLAINT (Be specific. Please read the policy statement on sexual harassment before completing this section.)

Date of Incident _____

Name of Person(s) Accused of Wrongdoing _____

Name(s) of Witnesses _____

Description of Incident (Describe actions of all person(s) involved, including yourself.)

Adjustment Requested _____

Employee Signature _____

Date _____ Time _____ A.M./P.M.

Complaint Submitted To: (Check one)

____ Director of Administration _____
(Name)

____ Supervisor/Other _____
(Name)

Received by: _____ Date Received _____

GENERAL PERFORMANCE CHARACTERISTICS

Functional Qualities

Self-Management - Works with minimal supervision, manages own time effectively, maintains control on all current projects/responsibilities and ensures follow-up.

Technical Competence - Possess necessary knowledge to effectively perform job and able to apply what he/she has learned about his/her job.

Job Knowledge - Knows the details of the job and follows all job procedures accurately.

Quantity of Work - Produces an amount of acceptable work in order to meet schedules over which he/she has no control.

Quality of Work - Neatly, thoroughly, and accurately completes job assignments according to established standards of quality.

Problem Analysis - Able to identify problems and relevant issues and breaks problem into components. Sees relationships and alternative solutions and arrives at sound conclusions through logical process.

Accuracy of Work - The degree to which the employee makes mistakes or errors that require correction.

Timekeeping - Employee is prompt in reporting for work and effectively and efficiently uses his/her time to accomplish his/her job task.

Safety - Follows established safety practices and corrects unsafe work practices on the job.

Concentration - Able to put aside distractions and stays with a job until complete.

Responsibility - Asks for work after completing assignments and does not make excuses but addresses problems squarely. Offers action plans to resolve problems and suppresses "self-forgiving" tendencies regarding so-called "uncontrollable elements".

Tenacity - Able to "stick to" assignments and get results in spite of difficulties.

Personal Qualities

Judgement - Able to reason, compare, understand, and think rationally on the job. Makes quality work - related decisions based on sound conclusions and separates facts from opinions.

Leadership - Employee can be relied upon to guide others to the accomplishment of objectives/responsibilities, develop teamwork, and resolve conflict.

Initiative - Starts assignments without prompting and independently contributes ideas and projects. Sees and acts upon new opportunities. Thinks and acts independently and promptly undertakes problems.

GENERAL PERFORMANCE CHARACTERISTICS

Personal Qualities (Continued)

Dependability - Employee can be relied upon to meet work schedules and fulfill job responsibilities and commitment.

Reliability - Consistent delivery of what is required when it is required. Meets deadlines and follows instructions.

Delegation - Clearly assigns responsibility to others and seeks to provide the right tools.

Interpersonal Qualities

Listening Skills - Asks meaningful questions and listens closely and respectfully before offering comments.

Acceptance - Gains confidence of others and earns respect of subordinates, peers, and superiors.

Internal Relations - Degree to which one works effectively and cooperatively with others and other departments in achieving organizational goals. Degree of responsiveness to organizational needs.

Adaptability - Employee can adapt to job or organizational changes.

Communicational Ability - Ability of the employee to present accurate information to other employees, peers, and superiors.

Office of the State Auditor
Tuition Assistance Approval Form

Name

Course name/number

Start date

End date

Graduate/undergraduate

School

Cost

Employee signature _____ Date

Manager approval _____ Date _____

Forward to administration after manager approval

DIRECT BILLING RESERVATION FORM

AUDITEE _____

TELEPHONE NUMBER _____

IN-CHARGE AUDITOR _____

HOTEL AND PHONE NUMBER _____

ADDRESS _____

HOTEL FED. ID# _____

HOTEL CONTACT PERSON _____

RATE NEGOTIATED PER NIGHT _____

AUDIT BEGINNING DATE _____

ESTIMATED ENDING DATE _____

STAFF MEMBERS

ESTIMATED NIGHTS (DATES)

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

RATE NEGOTIATED BY _____
(MANAGER OR SUPERVISOR)

SAO EXEMPT EMPLOYEE WORK SCHEDULE RULES

75H-F519	Wk #	Sun	Mon	Tues	Wed	Thurs	Fri	Sat	
002	Off		8	8	8	8	7.5	Off	39.5
001	Off		8	8	8	8	3.5	Off	35.5
									75

75H-F520	Wk #	Sun	Mon	Tues	Wed	Thurs	Fri	Sat	
001	Off		3.5	8	8	8	8	Off	35.5
002	Off		7.5	8	8	8	8	Off	39.5
									75

75H-F521	Wk #	Sun	Mon	Tues	Wed	Thurs	Fri	Sat	
002	Off		7.5	8	8	8	8	Off	39.5
001	Off		3.5	8	8	8	8	Off	35.5
									75

75H-F522	Wk #	Sun	Mon	Tues	Wed	Thurs	Fri	Sat	
001	Off		3.5	8.5	8.5	8.5	8.5	Off	37.5
002	Off		3.5	8.5	8.5	8.5	8.5	Off	37.5
									75

75H-F524	Wk #	Sun	Mon	Tues	Wed	Thurs	Fri	Sat	
001	Off		8.5	8.5	8.5	8.5	3.5	Off	37.5
002	Off		8.5	8.5	8.5	8.5	3.5	Off	37.5
									75

D375F015	Wk #	Sun	Mon	Tues	Wed	Thurs	Fri	Sat	
001	Off		8	8	8	8	5.5	Off	37.5
002	Off		8	8	8	8	5.5	Off	37.5
									75

D375RG01	Wk #	Sun	Mon	Tues	Wed	Thurs	Fri	Sat	
001	Off		7.5	7.5	7.5	7.5	7.5	Off	37.5
002	Off		7.5	7.5	7.5	7.5	7.5	Off	37.5
									75