



**HO-CHUNK NATION CODE (HCC)
 TITLE 6 – PERSONNEL, EMPLOYMENT AND LABOR CODE
 SECTION 5 – EMPLOYMENT RELATIONS ACT OF 2004**

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This Act supersedes the Ho-Chunk Nation’s Personnel Policies and Procedures Manual initially adopted on December 21, 1994 and last amended by Legislative Resolution 9/04/02C.

Chapter VI (Drug, Alcohol and Controlled Substance Policy) enacted by Legislative Resolution 10/16/01D and Amended and Restated by Legislative Resolution 10/23/02B.

Chapter VII (Worker's Compensation Plan) supersedes the Ho-Chunk Nation Worker's Compensation Plan dated October, 1998.

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CHAPTER I
GENERAL PROVISIONS

1. Authority.

a. Article V, Section 2(a) of the Constitution grants the Legislature the power to make laws, including codes, ordinances, resolutions, and statutes.

b. Article V, Section 2(f) of the Constitution grants the Legislature the power to set salaries, terms and conditions of employment for all governmental personnel.

c. Article V, Section 2(h) of the Constitution grants the Legislature the power to enact all laws prohibiting and regulating conduct and imposing penalties upon all persons within the jurisdiction of the Nation.

d. Article V, Section 2(r) of the Constitution grants the Legislature the power to protect and foster Ho-Chunk religious freedom, culture, language, and traditions.

2. Purpose. This Act establishes uniform employment practices throughout the Ho-Chunk Nation in the utilization of human resources in the achievement of the desired goals and objectives of the Nation.

3. Declaration of Policy.

a. This Employment Relations Act is the official employment law of the Ho-Chunk Nation. It supersedes the Nation's Personnel Policies and Procedures Manual and all policies, rules, and regulations enacted by Legislative resolutions pertaining to the employment law of the Nation.

b. This Act is applicable to all employees (non-enterprise and enterprise) of the Ho-Chunk Nation.

4. Responsibilities.

a. Department of Personnel. The *Department of Personnel Establishment and Organization Act* (1 HCC § 10) delegates to the Executive Director of the Department of Personnel the functions and authority to implement, manage, enforce, and promulgate i.e. create, establish, publish, make known and carry out the policies within this Act.

b. Departments and Units.

(1) Each department, division, or unit of the Nation with the approval and consultation of the Executive Director of the Department of Personnel may develop, implement, and revise as necessary internal procedures and operating rules pertaining to the unique operational requirements of the work unit for efficient and effective performance. Advance notice of internal unit procedures and rules shall be provided to employees and must be posted in public places to serve as notice to all employees.

(2) Internal unit procedures and rules shall not conflict with this Act. Where conflicts may arise between internal rules and procedures, this Act will govern.

5. Employment Clause.

a. Equal Employment Opportunity. With the exception of Ho-Chunk Preference in Employment as set forth in paragraph (b), below, it will be a violation of this Act to discriminate based on an individual's sex, race, religion, national origin, pregnancy, age, marital status, sexual orientation, or disability.

b. Ho-Chunk Preference in Employment Clause. The Nation exercises Native American Preference in employment and may exercise Ho-Chunk Preference in employment under limited circumstances, which furthers a legitimate governmental purpose.

(1) The Nation will exercise Ho-Chunk Preference in Employment, prioritized as follows:

- (a) Hocak Wazijaci Tribal member.
- (b) Spouse or Parent of Hocak Wazijaci Tribal member.
- (c) Native American Tribal member.

(2) Ho-Chunk Preference may be used to recruit, hire, train, recall and lay off employees of the Nation. For hiring purposes, Ho-Chunk Preference shall be used for tribally funded positions and Native American Preference shall be used for all federally funded positions. Preference is only afforded to distinguish between equally qualified candidates or applicants for a position. The Department of Personnel is responsible for monitoring the Preference Policy. Disciplinary action will occur for supervisors who do not adhere to this policy.

(3) The Department of Personnel shall research and prepare a written response to all written inquires of possible misapplication of the Ho-Chunk Preference Policy and Native American Preference. Individuals have the right to submit a written inquiry to the Department of Personnel, regardless of whether such individual is an employee at the time of the application process. Should the Department of Personnel find a violation of preference policy, the Director of Personnel can require additional interviews of all eligible candidates or the Director can override the selection of candidate.

c. Veterans Preference. Veterans are given priority-hiring status over equally qualified individuals for tribally funded positions. To be eligible for preference, the veteran must have an honorable or general discharge. Applicants claiming preference should supply a copy of the DD Form 214, (Certificate of Release or Discharge from Active Duty).

d. Hiring Policy. Upon a written offer of employment, the Nation shall require a pre-employment medical screening. Subject to the results of the pre-employment medical screening, confirmation of employment shall be by the Department of Personnel or supervisor.

6. Employee Rights.

a. Access to Employee Information. All employees may review his/her personnel file by submitting a written request to the Department of Personnel.

b. Disclosure of Employee Records.

(1) The Nation shall not disclose, in replying to external inquiries, any personnel or related records or information on an applicant, employee, or former employee, except pursuant to a written request by, or with the prior written consent of, the individual to whom the record pertains, unless disclosure of the records would be, subject to the *Ho-Chunk Nation Discovery Act*.

(2) Limitation on Access. Nothing in this section shall allow an individual access to any information compiled in reasonable anticipation of an administrative or judicial action or proceeding.

c. Safe Work Place. The Nation shall endeavor to provide all employees a safe and clean working environment. The Nation's *Occupational Safety and Health Program Act* (6 HCC § 8) shall apply.

d. Harassment.

(1) Harassment (both overt and subtle) is a form of employee misconduct that both demeans another person and undermines the integrity of the employment relationship by creating an unreasonably intimidating, hostile, and objectively offensive working environment.

(2) No employee shall be subject to retaliation or retribution for reporting harassment. Retaliation or retribution is strictly prohibited.

e. Sexual Harassment.

(1) Purpose. The purpose of the Ho-Chunk Nation sexual harassment policy is to:

(a) Prohibit sexual harassment in the workplace.

(b) Encourage employees who are victims or witnesses of sexual harassment to report such instances.

(c) Establish an administrative procedure for the reporting of instances of sexual harassment.

(2) Policy. Sexual harassment by or of supervisors, employees, or non-employees is strictly prohibited and will be investigated for possible disciplinary action.

(a) No employee shall be subjected to unsolicited and/or unwelcome sexual overtures or conduct, either verbal or physical.

(b) Sexual harassment will be treated as misconduct with appropriate disciplinary sanctions, up to and including termination.

(c) No employee shall be subject to retaliation or retribution for reporting sexual harassment. Retaliation or retribution is strictly prohibited.

(d) The Department of Personnel, shall promulgate guidelines and procedures for the reporting and complaint handling procedures within the Nation.

(e) An employee who believes that he or she has been subjected to unwelcome sexual conduct or that there exists an objectively hostile work environment has a duty to report the situation. Such report shall be made directly to the Department of Personnel.

(f) All reports, including both formal and informal, of sexual and other unlawful harassment will be promptly, actively, and confidentially investigated by the Department of Personnel.

(3) Prohibited Conduct.

(a) Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitutes prohibited sexual harassment when at least one of the following criteria is met.

1 Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment.

2 Submission to or rejection of such conduct by an individual is used as the basis for an employment decision.

3 Such conduct has the purpose or effect of reasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive work environment.

(b) Examples of prohibited conduct include, but are not limited to:

1 Unwelcome sexually suggestive comments or sounds.

2 Unwelcome sexual flirtation.

3 Unwelcome touching.

4 Unwelcome advances or propositions.

5 Unwelcome jokes of a sexual nature.

6 Unwelcome slurs and other verbal, graphic, or physical conduct relating to an individual's gender.

7 Any display of sexually explicit pictures, greeting cards, articles, books, magazines, photos, or cartoons.

(c) The authoring, forwarding, viewing, or sending of graphic nudity, obscene, or pornographic material and the use of obscenity or profanity is strictly prohibited by the Nation's *Internet and Intranet Usage Act* (6 HCC § 4).

(4) Penalties.

(a) Where an investigation concludes that an employee has committed an act of sexual harassment, that employee must attend Employee Assistance Program (EAP) counseling, disciplined by a minimum three (3) day suspension, and may be subject to further disciplinary action up to and including termination.

(b) Providing false information in the course of a sexual harassment investigation is grounds for disciplinary action, up to and including termination.

(c) A supervisor's failure to adequately respond to a sexual harassment matter or failure to discipline an employee for sexual harassment will result in disciplinary action. That supervisor must attend Employee Assistance Program (EAP) counseling, disciplined by a minimum three (3) day suspension, and may be subject to further disciplinary action up to and including termination.

f. Right to Work Provision. No person shall be required, as a condition of employment within the jurisdiction of the Ho-Chunk Nation, to:

(1) Resign or refrain from voluntary membership in, voluntary affiliation with, or voluntary financial support of a labor organization.

(2) Become or remain a member of a labor organization.

(3) Pay dues, fees, assessments or other charges of any kind or amount to a labor organization.

(4) Pay to any charity or other third party, in lieu of such payments any amount equivalent to or a pro-rata portion of dues, fees, assessments or other charges regularly required of members of a labor organization.

g. Whistleblower Protection. Employees who make disclosures described in this section serve the Nation's interests by assisting in the elimination of fraud, waste, abuse, and unnecessary expenditures. Employees making such disclosure(s) shall be protected from reprisals and shall not suffer adverse consequences as a result of prohibited personnel practices. All employees have a duty to report to the Attorney General information which the employee reasonably believes is a violation of any law, rule, policy, or regulation that pertains to the elimination of fraud, waste, abuse and unnecessary expenditures.

Legislative History:

Employment Relations Act

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| 10/16/01 | Chapter VI (Drug, Alcohol and Controlled Substance Policy) enacted by Legislative Resolution 10/16/01D. |
| 10/23/02 | Chapter VI (Drug, Alcohol and Controlled Substance Policy) amended and restated by Legislative Resolution 10/23/02B. |
| 2/5/04 | Administration Committee refers draft Employment Relations Act to full Legislature. |
| 2/17/04 | Legislature places Employment Relations Act out for 45-Day Public Review. |
| 8/31/04 | Legislature and the Executive Director of the Department of Personnel review submitted comments at off-site meeting. |
| 11/2/04 | Legislature tables Employment Relations Act for a final review at an off-site meeting. |
| 11/15/04 | Legislature and the Executive Director of the Department of Personnel review final draft at off-site meeting. |
| 12/9/04 | Legislature enacts the Employment Relations Act as 6 HCC § 5 by Legislative Resolution 19/9/04A. |
| 5/4/05 | Amended and Restated by Legislative Resolution 5/4/05A amending paragraphs 5b, 5c, and 8b. |

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- 6/10/05 Amended and Restated for technical correction. Legislative 5/4/05A did not amend paragraph 12b.
- 7/5/05 Amended and Restated by Legislative Resolution 7/5/05E amending paragraphs 9a, 20a, and 21b(1). Allows employees to take Waksik Wosga Leave during the Initial Probationary Period and that Cultural Leave is leave without pay unless the employee requests annual leave.
- 6/7/06 Amended and Restated by Legislative Resolution amending paragraphs 34b(1) and 34b(2) changing the composition of the Grievance Review Board.
- 6/7/06 Amended and Restated by Legislative Resolution 6/7/06D deleting paragraph 6g(2) and incorporating paragraph 6g(1) into paragraph 6g.

Personnel Policies and Procedures Manual

- 8/20/88 Garnishment of Employee Wages; Wisconsin Winnebago Business Committee Resolution 8/20/88B.
- 12/21/94 Responsibility for Employee Training; Legislative Resolution 12-21-94D.
- 12/21/94 Legislature Adopts Ho-Chunk Nation's Personnel Policies and Procedures Manual.
- 1/4/95 Legislature enacts Drug and Controlled Substance Policy and Procedures.
- 2/7/96 Weather Conditions; Education, Employment, (et al) Committee Approval.
- 2/13/96 Resignations and Reemployment; Legislative Resolution 2/13/96C.
- 3/26/96 Trial Court Review; Legislative Resolution 3/26/96A.
- 6/19/96 Approval of Job Descriptions; Legislative Resolution 6/19/96E.
- 2/25/97 Ho-Chunk Preference; Legislative Resolution 02/25/97A.
- 5/27/97 Wages Upon Transfer; Legislative Motion dated 5/27/97.
- 6/10/97 Ho-Chunk Preference; Legislative Motion dated 6/10/97.
- 2/17/98 Cultural Even Time Off; Legislative Resolution 02/17/98A.
- 2/10/98 Equivalent Annual Leave Credit; Legislative Resolution 02/10/98D.
- 2/10/98 Funeral Leave; Legislative Resolution 02/10/98E.
- 3/31/98 Layoffs; Legislative Resolution 3/31/98B.
- 4/28/98 Family Medical Leave; Legislative Resolution 4/28/98A.
- 6/9/98 Amendment to Chapter 12 (Employee Conduct, Discipline and Administrative Review) for the Administrative Review Process; Legislative Resolution 6-9-98A
- 6/10/98 Ho-Chunk Preference; Legislative Motion dated 6/10/98.
- 6/16/98 Funeral Leave; Legislative Resolution 6-16-98C.
- 6/16/98 Religious Leave; Legislative Resolution 6-16-98D.
- 10/28/98 Cap on 4% Merit Increase; Legislative Resolution 10/20/98C.
- 12/15/98 Compensation Upon Promotion/Demotion and Transfer/Reclassification; Legislative Resolution 12/15/98A.
- 12/29/98 Unclassified/Appointed Employees; Legislative Resolution 12-29-98C.
- 1/26/99 Transfer of Annual/Sick Leave Policy; Legislative Resolution 1/26/99B.
- 3/17/99 Promotion, Demotion, and Transfer Policy; Legislative Resolution 3/17/99A.
- 3/23/99 Lateral Transfer Policy; Legislative Resolution 3/23/99G.
- 4/27/99 Right to Deny Services; Legislative Resolution 4/27/99E.
- 4/27/99 Conflicts with Internal Controls; Legislative Resolution 4/27/99D.
- 5/11/99 Training During Probationary Period; Legislative Resolution 5-11-99B.
- 8/10/99 Comparable Wage; Legislative Resolution 8-10-99C.
- 10/14/99 Use of Sick Leave for Family Medical Leave; Legislative Resolution 10/14/99C.
- 10/19/99 Cultural Leave; Legislative Resolution 10-19-99D.
- 11/30/99 Bridge Service Credit; Legislative Resolution 11/30/99A.
- 1/18/00 Forty Hour Maximum on Paid Leave or Holiday Pay; Legislative Resolution 1/18/00D.
- 4/4/00 Waksik Wosga Leave Policy; Legislative Resolution 4/04/00B rescinding Legislative Resolution 6-16-98D.
- 4/4/00 Defined Events; Legislative Resolution 4-4-00B.
- 2/13/01 40 Hour Maximum Policy; Resolution 2/13/01A.
- 2/27/01 Waksik Wosga Leave; Resolution 2/27/01A.
- 3/6/01 Automatic Merit Increase; Resolution 3/6/01G.
- 3/7/01 Automatic Merit Increase; Resolution 3/7/01O.

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3/21/01 Supervision of Children; Resolution 3/21/01D.
5/22/01 Election Voting Leave; Resolution 5/22/01I.
6/5/01 Youth Leadership Conference; 6/5/01E.
6/26/01 Maternity Leave; Resolution 6/26/01A.
8/9/01 Two or More Part-time Positions equal Full-time Status; Resolution 8/9/01B.
9/18/01 Funeral Leave; Resolution 9/18/01E.
10/16/01 Military Leave; Resolution 10/16/01B.
6/5/02 Equal Employment Opportunity amendment; Resolution 6/5/02B.
9/4/02 Reporting Work Injuries, Chapter 8, amended by Legislative Resolution 9/04/02C.

Drug, Alcohol and Controlled Substance Policy

1/4/95 Legislature enacts Drug and Controlled Substance Policy.
10/16/01 Legislature amends Drug and Controlled Substance Policy by enacting the Drug, Alcohol and Controlled Substance Policy as Chapter VI to the draft Employment Relations Act (6 HCC § 5) by Legislative Resolution 10/16/01D.
10/11/02 Corrects the numbering of paragraph 15. Testing Procedures (renumbered from 17 to 15).
10/23/02 Amended and restated by Legislative Resolution 10/23/02B.
10/19/04 Restated with enactment of the Employment Relations Act (6 HCC § 5) by Legislative Resolution 12/9/04A.

Worker's Compensation Plan

1998 Worker's Compensation Plan adopted.
12/09/04 Legislature adopts the Employment Relations Act as 6 HCC § 5 by Legislative Resolution 12/9/04A which incorporates the Worker's Compensation Plan as Chapter VII.

CHAPTER II DEFINITIONS

7. **Definitions.** Whenever the following terms are used in this Act, they shall have the meanings indicated.

a. Abandonment. Absent without authorized leave for three (3) consecutive work days or five (5) work days in a twelve (12) month period.

b. Agency. Any external organization or unit engaged in business, providing services, information, or goods within the jurisdiction of the Ho-Chunk Nation.

c. Appointments.

(1) Acting Appointment. The temporary assignment of a person to a vacant position in the absence of the employee who normally fills such position. Persons appointed to acting assignments must possess the minimum qualifications for that position. Such persons shall have limited responsibilities and authority of the position unless directed otherwise by the appointing authority.

(2) Interim Appointment. Interim appointments apply to Department Executive Directors. See *Confirmation Process of Executive Directors of the Ho-Chunk Nation Act* (2 HCC § 9).

d. Bridged Service Credit. The linking or connecting of a recalled or rehired employee where regular status was held for purposes of considering seniority, pay, and vacation accrual rates.

e. Calendar Day. A twenty-four (24) hour period beginning at midnight and ending at midnight.

f. Class. A group of positions sufficiently similar in respects to the duties and responsibilities may be used with clarity to designate each position allocation to the class; common requirements such as to education, experience, knowledge, ability and other qualifications exist for all incumbents; common tests of fitness may be used to choose qualified employees; and the same schedule of compensation can be made to apply with equity under the same or substantially the same employment conditions.

g. Classification Plan. A listing of job titles and descriptions in regular service.

h. Cohabit or Cohabitant. Two individuals living together, who are financially and intimately associated in a committed relationship, yet not legally married.

i. Comparable Wage. A wage that is up to 15% of the current wage or previous wage, unless otherwise authorized in writing.

j. Compensation. The payment made to employees in consideration of the number of hours worked in accordance with payment schedules or a contract, including pay for overtime and other forms of payment in connection with the performance of job assignments. Total compensation refers to that amount of pay plus employment related benefits received by employees, including contributions to the employee's medical and dental programs, retirement, sick and annual leave and other similar benefits.

k. Continuous Employment. Employment without interruption, including authorized vacation, military leave, or other paid leaves, unpaid Family Medical Leave, and maternity leave of absence.

l. Dates.

(1) Annual Review Date. The date one (1) year from the Original Date of Hire and each subsequent year of continuous employment. The Annual Review Date is subject to change based on a change of employment status.

(2) Original Date of Hire. The initial date of hire to a regular position.

m. Demotion. A change in employment status resulting in movement from one position to another that has lower qualifications and/or lesser job responsibilities and assigned a lower pay range.

n. Dual Position. An additional temporary position assigned to an employee on an as needed basis.

o. Employee. Any individual employed by the Ho-Chunk Nation, regardless of the source of the funds by which the employee is paid. The term "employee" shall include any person elected or appointed. The Nation further classifies its employees as follows:

(1) Contract Employee. An employee who has entered into a contractual employment agreement with the Ho-Chunk Nation.

(2) Department of Labor Program Employee. An employee who is a Native American and is assigned a trainee position to gain on the job experience.

(3) Exempt Employee. An employee classified by the Nation as exempt is salaried. Such employees are those occupying executive, administrative, professional positions, appointed, and elected officials. Weekly salary is computed using the position's annual fixed salary.

(4) Full-time Employee. An employee who regularly works a minimum of 32 hours per week on a continuous basis following a probationary period.

(5) Limited Term Employee (LTE). An employee holding a job of limited or specified duration. Limited Term Employees are not regular employees eligible to use

the Administrative Review Procedure to file formal grievances, except in matters pertaining to prohibited discrimination or harassment. Other complaints may be filed with the Grievance Review Board. Limitation of LTE status is 480 hours per fiscal year, unless a one-time 160 hour extension is approved by the Executive Director and the Director, Department of Personnel or his or her designee.

(6) Nonexempt Employee. An employee covered by overtime. Such employees are entitled to overtime pay for work required to be performed in excess of 40 hours per workweek. (See Chapter III, paragraph 13g, for restrictions on payment of overtime.)

(7) Part-time Employee. An employee who has completed a satisfactory probationary period and regularly works less than 32 hours per week on a continuous basis. Part-time employees shall not hold supervisory positions.

(8) Regular Employee. An employee hired through the interview process, excepting appointed and elective positions.

(9) Seasonal Employee. An employee whose work is normally less than one (1) year but longer than six months, and who is expected to return on an annual basis.

p. Employer. Employer as used in this Act means any person who hires or employs any other person to perform work or services and pays for such services or work by means of wages or a salary and includes any person acting directly or indirectly in the interest of an employee in relation to an employee.

q. Enterprise. Entities of the Ho-Chunk Nation that provide for-profit goods and services.

r. Examination. The process of measuring and evaluating the relative ability and fitness of applicants by job related testing procedures, which may include a medical examination performed by a qualified health care provider.

s. Executive Director. The head of a specific Department of the Executive Branch.

t. Flex Classification. A position classification where a new hire may be employed at a higher base pay rate, not to exceed 30% of the base rate, than stated for that position based on qualifications that exceed the minimum job requirements. Whereas, for a “No-Flex” position, the employee is hired at the starting base pay rate.

u. Good Standing. An employee, who provides two (2) weeks written notice of intent to resign and does not have any punitive or administrative action pending prior to the resignation, resigns in Good Standing.

v. Grievance. A claimed violation, misinterpretation, or inequitable application of the policies and procedures having a direct adverse effect on the grieving employee.

- w. Indian Tribe. An Indian tribe, band, nation or other organized group or community recognized as such by the United States Government.
- x. Lateral Transfer. A change in employee status from one position to another position having the same or substantially similar duties and pay range.
- y. Leave Without Pay. Voluntary request by an employee for leave not exceeding 40 hours without pay.
- z. Merit Increase. Advancement of eligible employee's current pay from one salary step to a higher salary step within the same salary range based on satisfactory demonstration of individual efficiency and performance.
- aa. Minimum Wage. Minimum wage means the prevailing minimum wage as determined from time to time by the Legislature.
- bb. Misconduct. A deliberate and substantial disregard of the employer's interests or violation of the law or those standards of behavior, which an employer has a right to expect of every employee.
- cc. Modified Duty Assignment. The assignment of an employee, who has been injured on or off the job (except in connection with off-duty employment) and has been medically released to perform limited employment tasks, to a job in which the employee can perform tasks based on physical restrictions for a designated period of time.
- dd. Native American or Indian. An enrolled member of the Ho-Chunk Nation or an enrolled Indian of a federally recognized Indian tribe.
- ee. Negligence. An employee's failure to exercise safe and ordinary care in carrying out, applying, or complying with this Employment Relations Act or other laws of the Nation. An employee is not using ordinary care, and is therefore negligent, if the employee does something that a reasonable person knew or should have known was contrary to Tribal law or fails to do something that a reasonable person knew or should have known to be in compliance with Tribal law.
- ff. Nepotism. Favoritism shown to direct supervision of or the exercise of power or influence over relatives in employment or other services. See paragraph 15i, Chapter III for Employment of Relatives.
- gg. Non-Enterprise. Administrative entities of the Ho-Chunk Nation providing goods and services without a goal to make a profit.
- hh. Off-Duty Employment. The simultaneous holding of a job (second job) outside of the Nation by an employee.

ii. Paraprofessionals. Occupations in which workers perform some of the duties of a professional or technician in a supportive role, which usually requires less formal training and/or experience normally required for professional or technical status, and which may require certification and continuing education.

jj. Pay Rates.

(1) Base Rate. The beginning pay for a job as stated on the job description (not to be confused with pay range).

(2) Prorate. The proportional calculation of equivalency to the whole or full amount; an equivalent level of benefit credits over a given period.

kk. Performance Evaluation. A formal system to evaluate performance factors related to an employee's job duties, responsibilities and related employment characteristics on a regular and systematic basis by supervisory personnel.

ll. Person. A natural person, Indian or non-Indian, partnership, association, corporation, business trust, legal representative, or any organized group of persons.

mm. Probationary Period.

(1) Initial Probationary Period. A period of ninety (90) days in which a new hire or a rehired employee serves under close supervision and his or her performance is evaluated in order to assess his or her ability and adaptation.

(2) Performance Probationary Period. A period of thirty (30) days in which an employee, who is promoted, demoted, laterally transferred, recalled to a different position, or a rehired employee with Bridge Service Credit, serves under close supervision and his or her performance is evaluated in order to assess his or her ability and adaptation.

nn. Professionals. Occupations which require specialized knowledge and licensing, which is usually acquired through college training or through work, experience and other training which provides comparable knowledge.

oo. Promotion. A change in employment status from one position to another position that requires higher minimum qualifications, is assigned more difficult duties and responsibilities, and is assigned a higher pay range.

pp. Reclassification. The modification of job title and/or duties due to material difference between the existing job description and the actual job duties required to perform functions of a position.

qq. Second Job. The simultaneous holding of two (2) part-time jobs within the Nation.

rr. Seniority. The length of service to the Nation, including applicable bridge service credit.

ss. Separation.

(1) Layoff. Involuntary separation in good standing from employment for non-disciplinary reasons including, but not limited to, lack of funds or work, abolishment of position, reorganization, or the reduction or elimination of services.

(2) Resignation. Voluntary separation from employment in either "good standing" or "not in good standing."

(3) Termination. Involuntary separation from employment not in good standing.

tt. Status Change Form. The mandatory form necessary for new hire, transfer, promotion, demotion, change in significant duties or salary rate, employment separation (e.g., FML, Military, Unpaid Leave of Absence), or any other temporary or other change in employment status reported to the Department of Personnel.

uu. Suspension. The temporary removal of an employee from service, without pay, for disciplinary or investigative reasons and for a specified period of time.

vv. Temporary Reassignment. A short term, not to exceed 90 days, placement in a different position of employment.

ww. Unpaid Leave of Absence. Voluntary request for leave without pay, which exceeds 40 hours.

CHAPTER III EMPLOYMENT POLICIES

8. Position Classification and Allocation.

a. Position Classification. The Nation shall maintain a job description on each separate class of employment. The continuation of the class of employment is contingent upon funding authorization.

b. Vacancies.

(1) Position vacancies will be filled based on job description standards after notification of the vacancy to the Personnel Department.

(2) The Ho-Chunk Nation makes it a policy that:

(a) All vacant positions shall be posted to the general public within five (5) days, unless that position is subject to be filled from the Recall List.

(b) Continuous Posting. Revenue generating positions subject to high turn-over will be continuously posted to maintain a pool of immediately available applicants.

(c) All interview panels for Nation jobs shall consist of at least two-thirds Ho-Chunk Tribal members.

(d) Position applications shall be screened by the hiring supervisor, who will report to the Department of Personnel those applicants to be interviewed.

c. Position Reclassification.

(1) Reclassification requests may be initiated by individual employees or supervisory personnel, and all such requests must be substantiated in writing with such specific detail given to those duties and responsibilities being performed continuously for six (6) months that are different in scope from those contained in the applicable job description.

(2) Reclassification of a position shall not be intentionally used for the purpose of discrimination, personal gain, discipline, or retaliation.

9. Probationary Period.

a. Initial Probationary Period. New hire and rehired employees without Bridge Service Credit rights shall serve an Initial Probationary Period of 90 days. During an Initial Probationary Period, an employee is not eligible for annual leave, sick leave, and other benefits paid for or sponsored by the Nation, unless otherwise specified. An exception to this restriction is the taking of Waksik Wosga Leave by Tribal employees.

The probationary employee may not grieve, except in matters pertaining to prohibited discrimination or harassment.

b. Performance Probationary Period. Promoted, demoted, laterally transferred into a different position, recalled into a different position, and rehired employees with Bridge Service Credit must serve a Performance Probationary Period of 30 days.

c. No probationary employees shall be promoted, demoted, transferred, or be temporarily reassigned during a probationary period.

d. Employee Performance Evaluation. At the completion of an Initial or Performance Probationary Period, an employee shall receive an Employee Performance Evaluation without a merit pay increase. See Section 14, this Chapter.

e. New employees who have completed the initial 90-day Initial Probationary Period are eligible for all benefits enjoyed as a regular employee, unless prohibited by law.

10. Employee Separation Policy.

a. Termination. An employee's involuntary separation from employment, save a layoff, ends the employment relationship between the employer and employee.

b. Resignation. An employee voluntarily wishing to leave employment with the Ho-Chunk Nation in good standing must file a written resignation with the immediate supervisor at least two (2) weeks prior to the effective date, stating specific reason(s) for the resignation. The employee's resignation shall be promptly forwarded through the Executive Director to the Department of Personnel.

c. Layoff.

(1) An employee may be subject to layoff for reasons including, but not limited to; lack of funds or work, elimination of position, or reorganization.

(2) Whenever it becomes necessary to reduce the work force through layoffs, the Nation will endeavor to provide affected employees with at least ten (10) working days notice. The Nation may provide two weeks severance pay in lieu of ten working days prior to notice of layoff.

(3) Employees shall be afforded the opportunity to apply for a voluntary layoff, when a layoff plan is being instituted.

(4) When a layoff is to be implemented, the Executive Director will prepare a layoff plan. The plan will identify the number of positions by classification and identify incumbents to be laid off through the consideration of both ability and/or seniority in the position.

(5) Each job within the layoff plan shall be coded as “essential” or “non-essential” relative to furthering the department’s mission statement and services provided by that Department. Each layoff plan must evaluate which positions within the department affected by a layoff will benefit the Nation, the department and provide actual services and advance the mission and purpose of the department.

(6) The Department Director shall notify the Director of Personnel of the intended action at least fifteen (15) calendar days before the effective date and provide a statement whether or not the employee gave satisfactory service.

11. Recall Policy.

a. The names of employees who are laid off or continue employment in a lower position will be placed on a Recall List giving the position held at the time of layoff. The Recall List will be maintained for a period of six (6) months from the effective date of the layoff.

b. When a vacancy occurs in a position on the recall list, persons appearing on the list will be offered employment in inverse order of their layoff dates (earliest to most recent), prior to considering other persons for employment.

c. An employee that is recalled to the same position within six (6) months will be eligible for Bridge Service Credit rights and shall be assigned a new Annual Review Date.

12. Rehire Policy.

a. Resignation in Good Standing.

(1) Former employees of the Nation who resigned in good standing and are rehired within six (6) months into the same position in the same department will be assigned the same rate of pay and are eligible for Bridge Service Credit. A new Annual Review Date shall be established.

(2) Former employees that are rehired into any other position within six (6) months will be eligible for Bridge Service Credit, with the exception that they will be assigned a pay rate in the same manner as a new hire. A new Annual Review Date shall be established and the employee must complete a 90-day Initial Probationary Period without possibility of a merit pay increase.

b. Terminated employees or employees who resigned without good standing shall be treated as a new hire and shall not be eligible for Bridge Service Credit.

13. Compensation and Payroll Practices.

a. Minimum Wages. No employee shall be paid less than the federal minimum wage.

b. Salary/Wage.

(1) Nonexempt employees will be paid at an hourly rate, for purposes of payroll accounting.

(2) Elected officials, appointed officials, and exempt employees shall be paid a fixed salary.

c. No Compensation for Unauthorized Leave. Unauthorized leave or unexcused absence will not be compensated in any form.

d. Salary and Wage Merit Adjustments. The Nation may periodically revise pay rates or ranges resulting from studies of prevailing wages and other influential considerations. The Executive Director, Department of Personal shall promulgate a standardized schedule to determine benchmarks for merit wage increases.

(1) To be eligible for merit increases, nonexempt employees must not have any categorical rating of “unacceptable” or “need improvement” on their Annual Performance Evaluation.

(2) The percentage of a merit increase will be determined in accordance with the Nation’s classification and compensation plan and the availability of funding.

(3) An employee who has not received a scheduled Annual Performance Evaluation may be eligible to receive a merit increase. See paragraph 14b(2).

e. Compensation upon Position Reclassification. If a position is reclassified to a class having the same pay rate as the previous class, and if the employee meets the requirements of the reclassified position, the employee's pay rate and Annual Review Date shall not change, otherwise:

(1) If the position is reclassified to a class with a higher pay rate than the previous class and if employee meets the requirements of the reclassified position, then the employee's pay rate shall change to equal the base rate of the new position. If his or her current rate of pay is higher than the reclassified position's rate of pay then his or her rate will remain the same. In either case, the employee’s Annual Review Date will not change.

(2) If the position is reclassified to a lower pay rate class, and if the employee is retained to occupy the reclassified position, the employee's pay rate and Annual Review Date shall be unchanged. If the employee's pay rate in the former position is greater than the maximum rate established for the lower position, the employee's pay rate will be

frozen until such time as the rate or range of the reclassified position reaches the employee's frozen rate.

f. Transfer of Benefits. Regular employees upon transfer or reclassification shall carry over their annual and sick leave, unless prohibited by law or federal/state program guidelines.

g. Overtime Compensation. See paragraph 7o(6) for employees eligible for overtime compensation.

(1) All overtime must be pre-approved by the supervisor. Overtime may be paid only within appropriated funding levels consistent with the *Budget and Appropriations Process Act* (2 HCC § 4).

(2) Overtime compensation for a given pay period will not be paid if the employee has any paid (not including holiday leave pay) or unpaid leave during that pay period. An employee is limited to a maximum of forty (40) hours of paid compensation during a workweek in which an employee has taken any paid (not including holiday leave pay) or unpaid leave. This section shall be administered pursuant to paragraph 7o.

(3) Overtime will be available to all non-exempt employees and offered based on employee seniority.

h. Employer Required Educational/Meeting Activities. Employee attendance at seminars, lectures, conferences, business-related meetings, and training programs at the direction of a supervisor will be considered hours worked and compensable.

i. Travel Time. Travel time in connection with approved travel will be considered compensable hours worked for employees. Employees will be compensated for actual hours worked, less usual meal and commute time.

(1) One day travel out of town or as part of the day's work activities will be counted as hours worked, excluding the employee's usual meal period and normal travel time to and from the employee's residence and work location where the day's travel starts and/or ends at the employee's residence.

(2) For overnight travel out of town, a nonexempt employee will be paid a minimum of eight (8) hours for each normally scheduled workday. Any work, including travel, that an employee is required to perform while traveling, other than on a normally scheduled workday, will be counted as hours worked.

j. Employee Service on Tribal Boards/Commissions/Committees. Employees may serve on boards, commissions, and committees. Dual compensation is prohibited, unless:

(1) An employee elects to receive his or her regular pay while serving on the board, commission, or committee during normally scheduled work hours; or

(2) The employee elects to receive a stipend. The employee then must be in annual leave or unpaid leave status.

k. Compensation Upon Employment Separation. Final compensation shall be inclusive, up to the hour and date of separation of hours worked and all forms of accrued but unused time deemed compensable. Deductions will be made against compensation such as any mandatory or voluntary deductions, including legally authorized offset against pay.

(1) Separated employees will receive their final paychecks on the day paychecks are normally distributed.

(2) In the event of an employee's death, the employee's beneficiary as shown in personnel records shall be entitled to receive the employee's final paycheck, except where the beneficiary is a minor, in which case the Nation may hold the employee's final paycheck until a legal recipient can be identified by the Nation.

(3) Any property issued to the employee by the Nation must be returned before or at the time the final paycheck is provided. Otherwise, the Nation will withhold the final paycheck and other reimbursements until the property is returned or replaced.

l. Severance Pay.

(1) A supervisor may request to provide two (2) week severance pay, in lieu of retaining the services of an employee for the two (2) week period upon receipt of advance notice of resignation or the Nation may provide two (2) weeks severance pay in lieu of a two (2) week dismissal notice, provided that;

(a) The employee is not on probation,

(b) The employee leaves in good standing, and

(c) The Director of Personnel authorizes the Payroll Office to disburse.

(2) Limitation on Severance Pay. Employees who are terminated as a result of misconduct for violation of the law or work rules, or while on probation, are not eligible to receive severance pay.

14. Performance Evaluations.

a. The Executive Director, Department of Personnel shall promulgate the process and procedures for Performance Evaluations to ensure regular reports are made as to the competence, efficiency, adaptation, conduct, merit, and other job related performance conditions of the Nation's employees.

b. Annual Performance Evaluation.

(1) Supervisors shall be responsible for the completion of an annual evaluation up to ten (10) days prior to the employee's Annual Review Date.

(2) An employee who has not received an annual evaluation within thirty (30) days after his or her scheduled Annual Review Date may be eligible to receive a merit pay increase in a range of 0% to 4%, not to surpass the maximum rate of his or her pay range, if the following criteria have been met:

(a) The employee has had no disciplinary action placed in his or her personnel file since the previous evaluation date.

(b) The employee's previous evaluation met the criteria for a merit increase. If the employee has not received an evaluation since working with the Nation, assuming the employment has been continuous, it will automatically be assumed that the employee has met the evaluation criteria to receive a merit increase.

(c) The employee is not currently on a temporary reassignment, any type of leave of absence, layoff or other event that would affect the employee's Annual Review Date.

(d) The Nation has not imposed any temporary across-the-board payroll restrictions that would suspend merit increases for all employees.

(3) If the above criteria are met, the necessary documentation will be generated, signed and processed by the Department of Personnel granting the employee a pay increase effective the date that the employee's Annual Review Date was due.

c. Failure to Complete Performance Evaluations.

(1) Non-Elected Supervisors. For the first violation, the supervisor failing to complete a Performance Evaluation shall be placed on probation and, for procedural violation, shall be required to take corrective action within ten (10) calendar days of the violation and probation. If the violation has not been corrected within ten (10) calendar days or if there is a subsequent violation within thirty (30) calendar days, the supervisor shall be terminated from the position. If a second violation occurs after the 30 calendar days have lapsed, the supervisor may be demoted or, alternatively, be subject to the same terms as if it had been a first violation. If the supervisor continues to violate this policy, he or she shall be terminated.

(2) Elected and Appointed Supervisors. Should the supervisor be an elected or appointed official, for the first violation, the supervisor shall be subject to a notice of a procedural violation and shall be required to take corrective action within ten (10) calendar days with a penalty of a monetary fine of \$50.00. If there is a subsequent violation within thirty (30) calendar days, the supervisor shall be subject to a monetary fine of \$100.00.

15. Other Workplace Policies.

a. Second Job.

(1) Employees may hold a second part-time job within the Nation, provided that the total hours worked by the employee does not exceed the permissible 40 hours per week or the equivalent of a full-time position. The holding of a second job within or while employed by the government is subject to the following restrictions.

(a) The second job must not adversely affect the employee's primary part-time job performance and responsibilities.

(b) Notice to the supervisor of the second job must be provided in writing before the employee commencing work at the second job.

(2) An employee who holds two or more part/quarter-time positions for the Nation, for which the combined total of both positions is at least 32 hours per week, shall be considered a full-time employee of the Nation. In this event, the Department of Personnel will duly note the employee's employment record to indicate full-time employment status.

b. Dual Position. An employee may be temporarily assigned by his or her supervisor to a position that constitutes a temporary work assignment or dual position. See paragraph 7n, Chapter II.

c. Confidential Information.

(1) Confidential information obtained as a result of employment shall not be used by an employee for any private interest, or personal gain.

(2) Employment-related records and information are confidential and proprietary documents of the Nation.

(3) No confidential document or information shall be divulged to any person who does not possess the legal or operational right to know.

(4) All employees shall be required to sign a Confidentiality Agreement as a condition of employment.

(5) Use or disclosure of confidential information may result in civil or criminal penalties, or employee discipline, up to and including termination.

d. Operators Permit. Certain job positions require employees to have the use of an insured, privately owned automobile and to hold a valid driver's license.

(1) Failure to produce proof of insurance or a driver's license may bar the potential employee from employment.

(2) An employee who is required to drive and loses his or her driver's license or automobile insurance may be terminated for failure to meet the condition of employment.

e. Publicity/News Release. No employee shall use his or her position to present himself or herself as a representative of the Nation, or communicate with the news media on behalf of the Ho-Chunk Nation unless authorized or directed in writing by the Ho-Chunk Nation or its delegated representative(s).

f. Unlawful Conduct in Labor Controversies. It shall be unlawful for anyone to picket, or induce others to picket the establishment, employees, supply or delivery vehicles, or customers of anyone engaged in business or to interfere with the person's business, or interfere with any person or persons desiring to transact or transacting business with the person when a labor dispute exists.

g. Medical Release as a Condition to Return to Work. Employees are not allowed to return to work after a disability absence of more than five (5) workdays, or where any absence is caused by a contagious condition of a threatening nature to others, without the written medical release of a qualified physician. The Nation reserves the right to have such employees examined by a paid physician of the Nation.

h. Abuse of Disability Provision(s). Employees who are found to have abused or fraudulently used temporary disability provisions will be subject to disciplinary action, including, but not limited to, termination.

i. Employment of Relatives. Nepotism is strictly prohibited.

(1) No employee may hold a job over which a member of his/her immediate family exercises supervisory authority. Immediate family is defined as parent, grandparent, sibling, child, step relative, spouse, or cohabitant.

(2) Any violation of the nepotism provision, mandates that the supervisor or Executive Direct, Department of Personnel must cure the violation within three (3) work days or obtain the resignation of or terminate the person(s) violating the nepotism law.

CHAPTER IV EMPLOYEE BENEFITS

16. **General.** The Nation reserves the right to add, eliminate, or in other ways modify any discretionary benefits based upon the Nation's capacity to fund for the benefits.

a. Mandatory Benefits. The mandatory benefits offered by the Nation will apply to regular employees, whether exempt or nonexempt status, unless otherwise provided in a particular benefit plan or employment agreement/contract.

(1) Social Security. Social Security benefits are automatically deducted from an employee's payroll check.

(2) Worker's Compensation. See Chapter VII.

(3) Unemployment Insurance. Employees may be eligible for unemployment benefits upon termination of service with the Nation.

b. Discretionary Benefits.

(1) Benefit Plans.

(a) Group Health-Care Plans. The Nation makes available health-care plans for eligible employees and their dependents. Benefits consist of routine medical care, hospitalization, medical prescriptions, vision, and dental plans.

(b) Short-term and long-term disability insurance plans.

(c) Life insurance plans.

(d) A 401k Plan for retirement benefits.

(2) Enrollment.

(a) Employees shall complete enrollment forms at the time of orientation.

(b) Enrollment becomes effective at the end of an employee's probationary period.

(c) Health-care benefit coverage under the plan of the Nation terminates (at midnight on the last day of employment.)

c. Proration and Cost Sharing of Benefits.

(1) Leave benefits for part-time employees shall be earned at 50% of the benefits of the full-time employee.

(2) Leave benefits for quarter-time employees shall be earned at 25% of benefits of the full-time employee.

(3) The Nation has a salary reduction plan for payment of health benefits, which are separately described in the health benefits handbook and available from the Department of Personnel.

d. Contract Employee. Benefits for a contract employee shall be as specified in the contract between the employee and the Ho-Chunk Nation.

e. Limited Term Employee (LTE). A LTE is not eligible for annual leave, sick leave, and other benefits paid for or sponsored by the Nation, unless otherwise specified herein.

f. Restitution. If the existence of fraud by any person resulting in benefits to which he/she was not entitled, has been found by any court of competent jurisdiction, such person shall be liable to repay such amount to the Ho-Chunk Nation or to have such sum deducted from any future benefits payable to him or her under said laws.

17. Ho-Chunk Nation Holidays.

a. All employees are eligible to observe the following recognized holidays.

| <u>Holiday</u> | <u>Date Observed</u> |
|-------------------------------------|-----------------------------|
| New Year's Day | January 1 |
| Good Friday (1/2 Day) | Varies each year |
| Easter | Varies each year |
| Memorial Day | Last Monday in May |
| Corporal Mitchell Red Cloud Jr. Day | July 4 |
| Labor Day | First Monday in September |
| Veteran's Day | November 11 |
| Thanksgiving Day | Fourth Thursday in November |
| Hocak Day | Day after Thanksgiving |
| Christmas Eve (1/2 Day) | December 24 |
| Christmas Day | December 25 |
| New Year's Eve (1/2 Day) | December 31 |

b. Weekend Holidays.

(1) For employees who regularly work Monday-Friday, if a holiday falls on a Saturday, the holiday will be observed on the Friday before the Saturday. If the holiday falls on a Sunday, the holiday will be observed the following Monday. See paragraph b(2), below for Christmas and New Year holidays.

(2) If the Christmas and New Years Holiday fall on a Friday and Saturday, the holiday shall be observed with one-half (1/2) day on Thursday and a full day on Friday.

Should the Christmas and New Years Holiday fall on a Sunday and Monday, the holiday shall be observed with one-half (½) day on Friday and a full day on Monday.

c. Holiday Pay.

(1) Nonexempt employees will be paid double pay on the holidays worked. If a person does not work, he or she will receive eight (8) hours holiday pay at his or her regular rate.

(2) Exempt employees will be paid their regular salary on the holidays whether or not they work.

18. Annual and Sick Leave.

a. Annual Leave. Eligible employees accrue annual leave for each full week of service in which the employee is actively employed and in a paid status.

(1) Full-time employees will accrue paid annual leave credits as follows:

| <u>Service Length</u> | <u>Weekly Credit</u> | <u>Annual Leave</u> |
|--|----------------------|---------------------|
| | <u>Hours</u> | <u>Hours</u> |
| New Employee - End of 3 rd year | 1.85 | 96 |
| Start of 4 th year - End of 8 th year | 2.77 | 144 |
| Start of 9 th year - End of 14 th year | 3.69 | 192 |
| Start of 15 th year - | 4.62 | 240 |

(2) Any hours over one hundred sixty (160) will be paid to the employee at the end of the fiscal year provided that the employee has used sixty (60) hours of annual leave during that fiscal year.

(3) Selection of leave dates is subject to approval of the employee's supervisor. Leave scheduling preference shall be given to employees based on earliest date of a request for leave and/or employee's seniority. Leave requests must be submitted to the supervisor in writing at least ten (10) working days prior to the start date unless otherwise approved by the supervisor.

(4) Regular employees will retain leave upon transfer or promotion with the exception of staff/programs that are federally or state funded.

b. Sick Leave.

(1) Sick leave is a privilege of paid time away from work where such absence is necessary because an employee is incapacitated by sickness, temporary disability, injury, or for medical, dental or optical examination or treatment; or where, by reason of exposure to a contagious disease would jeopardize the health of others.

(a) Full-time employees shall accrue paid sick leave at a rate of .92 hours per week.

(b) No sick leave may be taken in advance of being earned.

(c) Illnesses extending beyond accrued sick leave will be charged as annual leave.

(d) Accrued sick leave time, which has not been used by the employee, will, upon separation in good standing, be applied to continued health insurance coverage.

(e) Sick leave may also be taken for illness in the employee's immediate family. Immediate family is defined as: parent, grandparent, sibling, child, step relations, and spouse or cohabitant.

(f) Regular employees will retain all sick leave upon transfer or promotion with the exception of staff/programs that are federally or state funded.

(g) Eligible employees must promptly notify their supervisors whenever the use of sick leave becomes necessary.

(h) A supervisor may require an employee to produce evidence (attending physician or medical provider's statement, death certificate, employee's affidavit, etc.) to substantiate the reason for or length of sick leave exceeding three (3) days.

(i) Should an employee receive disability insurance payments during a sick leave, the employee may only use that number of sick hours that, together with such insurance payments, would not represent more than normal pay.

(j) Employees will not be allowed to receive pay in excess of 40 total hours per week in which an employee is compensated for any form of leave is taken during that pay period.

(2) Conversion of Sick Leave to Extended Medical Benefits.

(a) Accrued sick leave may be used, upon qualification, to extend health, dental, vision and prescription insurance beyond the date of an employee's separation by using the employee's remaining sick leave hours multiplied by the employee's base rate of pay. When multiplied, this amount is the "dollars" that an employee may use to extend his or her coverage if they qualify.

(b) Qualifications.

1 An employee who resigns qualifies if:

a Covered under insurance on the last day of employment; and

b Resigned in good standing (see paragraph 11b); and

c Has enough "dollars" to pay for a minimum of one (1) full month of COBRA premiums for the plan the employee was covered under (i.e., Single Non-Tribal, Family Non-Tribal, Single Tribal, or Family Tribal) on the last day of employment.

2 An employee who is permanently laid off qualifies if:

a Covered under insurance on the last day of employment; and

b Was permanently laid off; and

c Has enough "dollars" to pay for a minimum of one (1) full month of COBRA premiums for the plan the employee was covered under (i.e., Single Non-Tribal, Family Non-Tribal, Single Tribal, or Family Tribal) on the last day of employment.

3 Spouses/Cohabitants and dependents of deceased employees may qualify, providing that the deceased employee on the date of his or her death:

a Was employed by the Nation; and

b Had family coverage in effect; and

c Had enough "dollars" to pay for a minimum of one (1) full month of COBRA premiums for the dependent(s).

(c) If an employee qualifies for sick leave conversion, the Insurance Department will mail a letter to the employee's last known mailing address stating how many hours of sick leave the employee had remaining and the end date of the extended medical benefits.

c. Transfer of Leave Time. Employees may transfer leave hours to another employee who is eligible to use accrued leave hours. This policy does not apply to an employee who has given notice of resignation or an employee being separated because of lay-off or termination.

(1) To be eligible to receive these hours an employee must meet the following criteria:

(a) Have forty (40) or less hours of accrued leave hours.

(b) Not receiving any other type of pay (i.e., Short Term Disability, Worker's Compensation, etc).

(c) Approval of his or her supervisor.

(2) To be eligible to transfer hours, the donating employee must meet the following criteria:

(a) Execute a voluntary option of consent with signature and a specific amount of hours donated/transferred.

(b) Maintain a minimum balance of 24 hours in his or her respective donating leave account.

(c) Approval of his or her supervisor, where applicable.

(3) This policy is strictly voluntary and no employee shall be required to transfer accrued leave time.

(4) In the event that an employee decides to transfer his/her accrued leave time, such leave time shall not be recovered and the employee will be eligible to utilize only hours that he/she has remaining and thereafter accumulates.

(5) Any leave transferred that violates this policy shall result in the transferred leave being revoked from the receiving employee.

19. Funeral Leave.

a. For the funeral of family relations, the following family relations will be recognized under this policy as blood relations (unless defined as step relations): Spouse, cohabitant, children biological, adopted, foster and step parents, grandparents, siblings and grandchildren.

b. All employees, including Initial Probationary employees, are eligible for paid funeral leave.

c. A half (1/2) day of unpaid leave will be allowed for attendance at funerals of extended family relatives or community members. An employee may use other earned or accrued leave if requested and approved by the employee's immediate supervisor.

d. Funeral leave will be granted to employees for leave with pay for a maximum not to exceed four (4) calendar days (32 hours) following the death in the immediate family spouse, cohabitant, children (biological, adopted, foster and step), parents, siblings and grandchildren, grandparents and in-laws.

e. Funeral leave will be granted to employees for leave with pay for a maximum not to exceed two (2) days (16 hours) following the death of an extended family member, including aunts, uncles, nieces and nephews. Employees may apply to take leave.

f. The employee shall advise his or her supervisor of the duration of his or her absence.

g. The employee shall advise his or her supervisor if he or she intend on using accrued Annual Leave or leave without pay in conjunction with the paid Funeral Leave.

h. Enrolled Tribal Members. See paragraph 21d(1) for funeral leave under the Waksik Wosga Leave Policy.

i. The Ho-Chunk people honor their warriors. Paid funeral leave will be granted to Ho-Chunk legion and auxiliary members who are asked to honor Ho-Chunk veterans with military rites.

20. Cultural Leave. Enrolled members of the Ho-Chunk Nation may request time off to attend cultural and traditional events.

a. The time off for Cultural Leave will be leave without pay, unless the employee requests annual leave.

b. The employee must submit a Leave Application Form for time off at least fourteen (14) days in advance.

c. The supervisor shall comply with this policy to accommodate requests for time off in compliance with this policy. Additional staffing and training necessary to support all Cultural Leave requests shall be made available in the event that multiple requests from the same work area may be accommodated “without causing disruption” of the business enterprises.

d. If an employee schedules time off for a cultural event abuses and violates this policy by not attending the cultural event, then the employee shall not be eligible to request time off for a period of ninety (90) days. For a second similar violation of this policy, the employee shall not be eligible to request time off for a period of 180 days.

21. Waksik Wosga Leave Policy.

a. General. To promote participation and preserve the Nation’s culture, a Waksik Wosga Leave Policy is provided for Ho-Chunk Tribal employees. Due to traditional responsibilities held by the Ho-Chunk People, enrolled Ho-Chunk member employees may occasionally require leave from their place of employment when obligated, because of clan membership to be a “worker” at a Defined Event. The Waksik Wosga Leave Policy provides enrolled Tribal member employees the ability to observe their religion, culture, and tradition, when obligated to, without the threat of losing a job or losing pay. This Policy is only to be used for those families, clans, and individuals who are required by tradition to perform for another clan during employment hours.

b. Eligibility.

(1) All enrolled Ho-Chunk Tribal member employees are eligible for paid Waksik Wosga Leave. The employee must be a participant “worker” in a Defined Event as described in paragraph d, below. Waksik Wosga Leave may be taken by Tribal employees during their Initial Probationary Period.

(2) Spouses. Non-Ho-Chunk spouses of enrolled Ho-Chunk employees granted Waksik Wosga Leave are also eligible for this leave if they are a participant worker.

(3) Nebraska Winnebago. Based on the familial relationships, shared religions and ceremonies between the Ho-Chunk and the Nebraska Winnebago, the Traditional Court has made an exception to allow for a tribally enrolled Nebraska Winnebago employee of the Ho-Chunk Nation to apply for unpaid Religious Leave for the events defined below. Enrolled Nebraska Winnebago applicants shall be required to use annual or unpaid leave.

(4) Leave. An enrolled Ho-Chunk Tribal member employee who has attended a religious ceremony or event defined under paragraph d, below, can claim paid leave only for the days that the event actually occurs. An enrolled Tribal member who has attended a religious ceremony or event can claim unpaid leave for one (1) day following an all night ceremony or event, or has the option to use annual or sick leave. See paragraph d(2), below, for an exception for the Medicine Dance.

c. Process. In order to receive paid Waksik Wosga Leave, eligible employees shall:

(1) Submit to their supervisor a Waksik Wosga written notice when it becomes necessary to participate in a Defined Event. In the event written notice cannot be submitted, the employee shall notify the supervisor verbally or by telephone. The notification will include the reason for taking Waksik Wosga Leave and the duration of the absence.

(2) An employee’s name must appear on the official Wosga Sign-in Work Form (daily, if the Defined Event is longer than one day) to verify that the employee was present and did participate in the Defined Event. All employee’s using Wosga Leave must sign-in on the Work form to be eligible for paid leave. The Wosga Sign-in Work Form will be provided to the Personnel Department for the calculation of hours when timesheets are due.

(3) The Clan Leaders will be consulted to verify all sign-in participants, if necessary.

(4) Should a participant be signed-in who did not actually participate in the Defined Event, the work pay for that day will be deducted from the employee’s pay the following week.

(5) If an employee schedules time off for a cultural event abuses and violates this policy by not attending the culture event, then the employee shall not be eligible to request time off for a period of ninety (90) days. For a second similar violation of this policy, the employee shall not be eligible to request time off for a period of one hundred and eighty (180) days.

d. Defined Events.

(1) Funerals. The traditional and Native American Church Funerals customarily require four (4) days of leave since there are four (4) days and four (4) nights of continuous mourning, ending with an all-night ceremony for the grieving family on the last night. Various clans are involved in a funeral, including a need for warriors, or veterans, throughout the sacred funeral burial process. All enrolled Tribal member employees who are required to work at a funeral, including warriors if needed, pursuant to clan obligations, shall receive Waksik Wosga Leave pay for those days that are regularly scheduled work days only. The leader (officiator) of the funeral and four named helpers shall be allowed forty (40) hours of paid Waksik Wosga leave time, as an exception to paragraph e(1), below.

(2) Medicine Dance. The Ho-Chunk people are divided into five (5) respective groups in the Medicine Lodge. The Medicine Dance consists of eight (8) days at one time respectfully from Sunday to the following Monday. Part of the Medicine Lodge includes a Medicine Feast, which takes an additional two (2) days for a Memorial Meeting. All enrolled employees of the Nation required to work at a Medicine Dance pursuant to their clan obligations shall receive Waksik Wosga Leave for those days that are regularly scheduled workdays only. The only exception being that an eligible employee who has been in attendance the entire weekend may take off the following Monday with paid leave.

(3) Feast Lodge. The customary time is three (3) to five (5) days in accordance with the Ho-Chunk clan way of life. This includes Tribal member employees who are leaving or returning from the Armed Forces. All enrolled employees of the Nation that are required to work at the Feast Lodge pursuant to their clan obligations shall receive Waksik Wosga Leave for those days that are regularly scheduled work days only.

(4) Native American Church. The customary time for Native American Church ceremonies is two (2) days. All enrolled employees of the Nation that are required to work at Native American Church ceremonies pursuant to their obligations shall receive Waksik Wosga Leave for those days that are regularly scheduled work days only.

(5) Scalp Dance. This ceremony is fairly rare and the customary time for a Scalp Dance requires five (5) days. Most often these days are split into two (2) days and two (2) nights, requiring two (2) separate three (3) day leave periods. All enrolled employees of the Nation that are required to work at a Scalp Dance pursuant to their clan obligations shall receive Waksik Wosga Leave for those days that are regularly scheduled work days only.

(6) Doctoring. Most Indian Medicine Men and Medicine Women require four (4) days and nights of continuous doctoring, so the customary time is four (4) days of leave. All enrolled employees of the Nation that are required to work at a Doctoring Ceremony pursuant to their clan obligations shall receive Waksik Wosga Leave for those days that are regularly scheduled work days only.

(7) Ghost Meal. All enrolled employees of the Nation that are required to work at a Ghost Meal pursuant to their clan obligations shall receive Waksik Wosga Leave for those days that are regularly scheduled work days only.

e. Limitations.

(1) The maximum amount of paid Waksik Wosga Leave is ten percent (10%) of the employee's total hours worked for a given year.

(2) Extension of a leave of absence must be secured with a written note from any member of the Traditional Court. For example, when there are consecutive funerals and certain clans must serve as workers for both funerals, the worker must obtain a new leave approval.

(3) Abuse of this Policy may result in denials from the Traditional Court and ultimately, the Director of Personnel.

(4) This Policy shall not include any paid leave for enrolled Tribal member employees to attend pow-wows, including any events held at pow-wows.

f. Authority. If required, the Traditional Court shall make recommendations and provide advice to the Director of Personnel regarding all questionable paid Waksik Wosga Leave. After consideration of advice from the Traditional Court, the Director of Personnel shall have final authority on all matters contained in this Policy.

22. Jury Duty and Witness Leave.

a. Jury Duty. Employees are to notify their supervisors promptly upon receipt of a jury summons and subsequent notice of selection to serve as a juror. An employee selected to provide this community service will receive his or her regular rate of pay for normal hours worked, up to a maximum of 10 workdays, provided the employee submits evidence of the summons and selection notice. Employees will be allowed to retain any mileage and other compensation paid by the court.

b. Witness Duty. Employees will be paid leave for the time required to provide testimony in work related litigation or court proceedings. Employees are to notify their supervisor immediately upon receipt of a job related subpoena.

23. Military Leave.

a. An employee who enters active duty in a branch of the U.S. Armed Forces or is a member of the Reserve Components of the U.S. Armed Forces who attends annual training, active duty for training, or is called to active duty will be granted military leave.

b. To be entitled to military leave an employee must present official orders requiring attendance for a period of training or other active duty as a member of the Armed Forces.

c. An employee may opt not to use military and, instead, use accrued annual leave.

d. Military leave is further classified as paid supplemental military leave, unpaid military leave, or unpaid military leave of absence.

(1) Paid Supplemental Military Leave.

(a) Paid supplemental military leave is defined as that amount of pay necessary, when added to the military pay received for that day, to bring the employee to his or her full wage/salary level for that day.

(b) Fifteen (15) days of paid supplemental military leave will be granted annually to an employee who is member of a Reserve Component or who enlists for active service.

(c) For Reserve Component members this leave may be used for Annual Training, Active Duty for Training and other active duty (called to active duty or mobilized) verified by published military orders. Inactive Duty Training (i.e., weekend training) as a member of the National Guard or Reserve does not qualify for paid supplemental military leave.

(d) A day of paid supplemental military may only be used for a regular scheduled work day. The use of the fifteen (15) days is not limited to a single period, but may be used incrementally as long as the employee presents official military orders.

(2) Unpaid Military Leave. Unpaid military leave applies only to those employees who are eligible for paid supplemental military and decline to take either annual leave or paid supplemental military leave. It may only be used for 15 days or less. (As an example, this leave would apply to an employee who's military pay exceeds his or her wage/salary.)

(3) Unpaid Military Leave of Absence. Unpaid military leave of absence will be granted to an employee for extended periods (beyond 15 days) of active duty supported by published official military orders. The following periods of active duty qualify for unpaid military leave of absence:

(a) An employee who is inducted into or enlists in an Active Component of the Armed Forces of the United States.

(b) An employee who is a member of the Reserve Components attending any of the following duty:

- 1 Initial Entry Training (i.e., basic training).
- 2 Active Duty for Training (i.e., military schooling).
- 3 Called to federal active duty by the President of the United States during a national emergency (i.e., mobilized).
- 4 Called to state active duty by the Governor during a state emergency.

e. Employees returning to work are entitled to the same seniority, status, and pay they would have received had they not entered military service. Employees returning from military service may not be terminated from re-employment except for cause during their first year of re-employment.

24. Educational Leave.

a. Employees may request leave with pay for no more than 24 hours per month for attending educational courses/classes.

b. Requests for educational leave shall be made at least 30 days before class/course starting date. Tuition reimbursement is permissible and granted at the discretion of the department Executive Director based upon factors including length of service and quality of performance and availability of funds. Reimbursement will be contingent upon successful completion of a class/course with grade point average of 2.0 or better and availability of Tribal/program educational funding. Reimbursement is limited to tuition only and for only the classes/courses approved by employee supervisor. Reimbursement of educational costs will not exceed six (6) credits per semester or quarter of an academic year. All final grade transcripts will be provided before reimbursement is made.

c. Professional Continuing Education Credits. All professional staff are responsible to meet mandated Professional Continuing Education Credits. Reimbursable costs shall be all tuition, registration fees, textbooks, class supplies, time, travel, lodging and meals.

25. Administrative Leave. Administrative leave status or normal work curtailment may be granted to employees by the Office of the President. Administrative Leave may be used for inclement weather conditions, hazardous working conditions, voting purposes, blood drives and other exceptional circumstances. Administrative Leave is considered unpaid leave unless otherwise specified in the Executive Order, Legislative Order, or Judicial Order.

26. Medical Leave.

a. Maternity/Paternity Leave. The Ho-Chunk Nation will provide maternity/paternity leave for employees when specific conditions are met. Abuse of the maternity/paternity leave may result in the loss of this privilege.

(1) Forty (40) hours of paid Maternity Leave for the maternal birthing parent employee shall be provided if either of the following conditions is met.

(a) Certification by the attending physician or medical provider is presented that shows the birthing parent employee is no longer able to perform her duties safely and efficiently and/or is adversely affected by the pregnancy.

(b) The birthing parent employee delivers the child(ren).

(2) Additional unpaid Maternity Leave for the female/birthing parent employee can be provided when conditions of employment are met. When the pregnancy pre-exists employment with the Nation, the employee can receive up to 30 days leave without pay. Otherwise, Family Medical Leave can apply if the pregnancy occurred during her employment with the Nation subject to qualification under Family Medical Leave.

(3) Eight (8) hours of paid Paternity Leave for the paternal parent employee shall be provided.

(4) Additional unpaid Paternity Leave for the paternal parent employee can be provided when conditions of employment are met. When the pregnancy preexists his employment with the Nation, he can receive up to seven (7) days leave without pay. Otherwise, Family Medical Leave can apply if the pregnancy occurred during his employment with the Nation, subject to qualification under Family Medical Leave.

b. Family Medical Leave. The Ho-Chunk Nation will provide up to twelve (12) weeks of unpaid, job-protected leave referred as Family Medical Leave (FML) for “eligible” employees to attend to certain family medical matters. All FML requests must be approved by the Department of Personnel.

(1) To be eligible for FML, the employee must have worked for the Nation for at least twelve (12) months and have worked at least 1,250 hours during that twelve (12) month period.

(2) If an employee does not meet the eligibility criteria noted above, the FML pending window can close sooner than the usual 15-day pending period.

(3) If an employee and supervisor fail to notify the Department of Personnel that an employee is past FML pending stage and has not been approved FML use, disciplinary action, including termination, can occur.

(4) Leave Schedule.

(a) FML permits the employee to take either full-time off or intermittent leave. Upon request for FML, schedule of time off must be stated, or otherwise, the employee will be reported as using full-time FML.

(b) An employee may change his or her FML schedule when medical improvements occur; provided that the Department of Personnel is notified prior to the schedule change.

(c) An Intermittent/Reduced Schedule is permitted when such schedule does not unduly disrupt the Nation's operations and when either of the following circumstances occur.

1 When medically necessary to care for a seriously ill family member with a foreseeable medical treatment schedule is established for the employee.

2 When an employee with a serious medical condition is medically released by the supervising health care provider to work a reduced schedule. In such cases, the Nation may transfer the employee temporarily to an alternative job with equivalent pay and benefits that better accommodate the employee's recurring periods of leave.

3 To care for a newborn or newly placed adopted or foster care child, as approved by the employer.

(5) An employee who fails to keep the Department of Personnel and his or her supervisor current on his or her medical status while on FML may be denied possible extensions of any leave time.

(6) An employee who fails to report promptly for work at the expiration of the FML will be considered to have voluntarily resigned with the exception of an employee with a Worker's Compensation claim (see Chapter VII).

(7) The FML can run concurrent with Short Term Disability, annual leave, sick leave, Maternity/Paternity Leave, Worker's Compensation and/or an unpaid Leave of Absence.

(8) Leave Entitlements.

(a) Such leave entitlements shall not include ailments that do not constitute "serious health conditions" as described in paragraph (c), below. This includes, but is not limited to, general work related stress, common colds, earaches, the flu, headaches other than migraines, upset stomach, minor ulcers, routine dental, orthodontic or periodontal problems.

(b) Leave entitlements do include the following reasons: the birth of a child, and to care for the newborn child; placement with the employee of a child for adoption or

foster care, and care for the newly placed child; care for an immediate family member (spouse, child, or parent-but not a parent-in-law) with a serious health condition; and when the employee is unable to work because of a serious health condition.

(c) Serious Health Conditions.

1 Serious health condition means an illness, injury, impairment, or physical or mental condition and involves: any period of incapacity or treatment connected with inpatient care (i.e., overnight stay) in a hospital, hospice, or residential medical care facility; a period of incapacity requiring absence of more than three (3) calendar days from work, school, or other regular daily activities that also involves continuing treatment by (or under the supervision of) a health care provider; any period of incapacity due to pregnancy, or for prenatal care; any period of incapacity (or treatment therefore) due to a chronic serious health condition (e.g., asthma, diabetes, epilepsy); a period of incapacity that is permanent or long-term due to a condition for which treatment may not be effective (e.g., Alzheimer's, stroke, terminal diseases); or any absences to receive multiple treatments (including any period of recovery) by, or on the referral of, a health care provider for a condition that likely would result in incapacity of more than three consecutive days if left untreated (e.g., chemotherapy, physical therapy, dialysis).

2 A regimen of continuing treatment under this provision that includes the taking of over-the-counter medications such as aspirin, antihistamines, or salves; or bed-rest, drinking fluids, exercise, and other similar activities that can be initiated without a visit to a health care provider, is not, by itself, sufficient to constitute a regimen of continuing treatment for the purpose of Family Medical Leave.

(9) Maintenance of Health Benefits. The Nation shall maintain group health insurance coverage, including family coverage for an employee on Nation's FML. During the leave, the Nation will pay both the employer's and employee's premium during the week(s) the employee does not receive a payment from the Nation. The maintenance of the health benefits stops if and when an employee informs the Nation of intentions not to return to work at the end of the leave period, or if the employee fails to return to work when the leave entitlement is exhausted.

27. Unpaid Leave of Absence. An employee with more than twelve (12) months of continuous services full time service may be eligible for an Unpaid Leave of Absence for a period not to exceed three (3) months. All requests must be approved by the Department of Personnel.

a. An Unpaid Leave of Absence may be granted for the following reasons:

(1) Continued illness or personal reasons, which extend in time beyond available annual, sick, or FML. During an Unpaid Leave of Absence for medical reasons, health benefits will continue for up to ninety (90) days;

(2) Advanced training, higher education, or research, which will increase employability and job skills that are in the best interests of the Ho-Chunk Nation. Employees will be responsible for maintaining or discontinuing any employment related discretionary insurance benefits with the Nation.

b. Upon expiration of the Unpaid Leave of Absence, the employee shall be reinstated in the position held at the time this leave was granted. An employee who fails to promptly report to work at the expiration of such leave will be considered to have voluntarily resigned.

c. Under no circumstances will Departments be allowed to announce the position and hire a probationary employee; as if there were an official vacancy.

28. Employee Assistance Program (EAP). The Employee Assistance Program is to assist employees with personal problems and supervisors in need of assistance in dealing with employee personal issues. The EAP is available to all employees of the Ho-Chunk Nation and their family members.

CHAPTER V
WORK RULES AND
EMPLOYEE CONDUCT, DISCIPLINE, AND ADMINISTRATIVE REVIEW

29. General Hours of Work and Attendance.

a. Due to the varying nature of Tribal business and service needs, no single work schedule can be established for all employees. Executive Directors, upon consultation with supervisory personnel and with approval of the appropriate Administrator, will determine operational days and hours of work, or the modification thereof. General working times for Administration and Programs are Monday-Friday, 8:00 a.m. to 4:30 p.m., unless altered by Legislative or Executive Order. Working times for Gaming and Non-Gaming Enterprises will be established individually upon operational needs.

b. Work schedules will be established for each employee by supervisory personnel who may change schedules based on the needs and requirements of work until operations. Supervisory personnel may also require an employee to work an unscheduled day worked shall be treated as modified work schedule and not be subject to overtimes compensation.

c. Attendance.

(1) Employees are required to report to their designated work locations at the prescribed time and manner work is to commence. Tardiness, unexcused absence or failure to report as required may result in disciplinary action.

(2) In the event an employee cannot report to work as scheduled, the employee must notify supervisory personnel at least one hour prior for enterprise employees and within 15 minutes after the scheduled work shift for non-enterprise employees.

(3) In all cases of an employee's absence or tardiness, the employee shall provide supervisory personnel with a valid reason for the absence and, if applicable, the probable duration of absence.

d. Excessive Absenteeism. Excessive absenteeism, which renders an employee unavailable for work will be evaluated on a case-by-case basis to determine the merits of disciplinary action or termination.

e. Abandonment of Employment. An employee who is absent from his or her assigned work location without authorized leave for three (3) consecutive days or five (5) days in a twelve (12) month period shall be considered absent without authorized leave, and as having abandoned his or her employment. The employee shall be automatically terminated, unless the employee can provide the Nation with acceptable and verifiable evidence of extenuating circumstances justifying the absence(s).

30. Employee Conduct.

- a. Employees are responsible and accountable for adhering to all Tribal laws, policies, rules, directives, and procedures enacted and established by the Nation or appropriate Executive Staff.
- b. Employees who engage in, or are associated with illegal, or inimical conduct, the nature which adversely affects the Ho-Chunk Nation, or their ability to carry out their employment responsibilities, will be subject to disciplinary action, including termination
- c. Information about the Ho-Chunk Nation, its customers, clients, suppliers, or employees shall not be disclosed or divulged to anyone other than persons who have a right to know, or are authorized to receive such information.
- d. The Nation reserves the right to deny services and entry onto the Nation's property to members of the public, visitors, and employees who are physically and/or verbally abusive or disruptive of services and operations. The Nation additionally reserves the right to deny entry onto Tribal properties or access to services to all employees and/or members of the public who may be under the influence of alcohol, controlled substances, and/or illegal drugs.
- e. Unacceptable Conduct. The following employee acts, activities, or behavior that are unacceptable conduct.
 - (1) Improper or unauthorized use of paid or unpaid leave.
 - (2) Being absent without authorized leave or repeated unauthorized late arrival or early departure from work.
 - (3) Willful or negligent violation of this Act, Ho-Chunk law, unit operating rules, or related directives.
 - (4) Refusal to accept reasonable and proper assignments or failure to carry out a direct order from a superior, except where the order is illegal or the employee's safety may reasonably be jeopardized by the order.
 - (5) Soliciting or accepting gifts or compensation in exchange for influence, contracts, access to information, people or facilities.
 - (6) Engaging in a conflict of interest activity.
 - (7) Conduct that discredits the employee or the Nation, or willful misrepresentation of the Nation. An employee may not present himself or herself as a representative of the Nation, or communicate with the news media on behalf of the Ho-Chunk Nation unless authorized or directed in writing by the Ho-Chunk Nation or its delegated representative(s).

(8) Conviction of a crime, including convictions based on a plea of *nolo contendere* or of a misdemeanor involving moral turpitude, the nature of which reflects the possibility of serious consequences related to the continued assignment or employment of the employee.

(9) Knowingly falsifying, removing, or the destruction of information related to employment, payroll, or work-related records or reports.

(10) Soliciting outside work for personal gain during business hours; engaging in off-duty employment for any business under contract with the Ho-Chunk Nation; participating in any off-duty employment that adversely affects the employee's performance of work for the Nation; and engaging in unauthorized off-duty employment.

(11) Conduct that interferes with the management of Tribal operations.

(12) Violation of or neglecting safety rules, or contributing to hazardous conditions.

(13) Unauthorized removal, negligent, or improper use of any Tribal property, equipment, or funds or that of its clients, customers, or agents. This includes the private use, use that creates an unreasonable risk of damage to property, and embezzlement or conversion for personal use of Tribal funds or property.

(14) Physical altercations or creating a disturbance among fellow employees that would result in an adverse effect on morale, productivity, and/or the maintenance of proper discipline, i.e. wrestling, rough housing, and horse play.

(15) Participating in a strike, work stoppage, slowdown, sickout, or other job action.

(16) Making false, malicious, or unfounded statements against co-workers, supervisors, subordinates, government officials, or the Ho-Chunk Nation, which tend to damage the reputation or undermine the authority of the Ho-Chunk Nation

(17) Conducting personal business during work time.

(18) Inefficiency, incompetency, or negligence in the performance of duties, including failure to perform assigned tasks or training, or failure to discharge duties in a prompt, competent, and reasonable manner.

(19) Refusal or inability to improve job performance in accordance with written or verbal direction after a reasonable trial period, not to exceed thirty (30) days, which is specified in writing.

(20) Employees may not engage in coercion, nor be subject to coercive tactics that constitute a deprivation of legally protected rights.

(21) Offering or accepting political rewards as consideration for the political support of any party or candidate for public or Tribal office. Upon proof of such reward, disciplinary action will be taken, which may result in termination or removal.

(22) Driving under the influence of alcohol or drugs while on duty or the suspension of driver's license where job duties require driving.

(23) Bringing infants or other dependants to work for the purposes of providing them care and supervision, except in the following circumstances:

(a) To accommodate a mother's right to breast-feed an infant during her break periods, provided that a minimum amount of disruption in office functions occur.

(b) To accommodate an employee who works at any of the Nation's facilities where day care, recreation, or other supervision is provided for infants or dependent children, provided that the employee's work is not disrupted.

(c) In all cases, an employee must request approval of his or her supervisor in order to bring a child to his or her workplace under the above circumstances.

(24) Use of office telephones for personal purposes. Personal calls shall be kept to a minimum and long distance calls shall be reimbursed.

(25) Participating in, planning, or assisting in any illegal or unlawful activity, which affects the day-to-day operations of the Ho-Chunk Nation.

(26) Unauthorized release of confidential information or official records.

(27) Misuse of authority or position for personal gain.

(28) Any other actions considered inappropriate, or detrimental to employee working environment.

(29) Taking employee personnel matters to any public forum.

31. Employee Discipline.

a. Depending on the nature of the circumstances of an incident, discipline will normally be progressive and should bear a reasonable relationship to the violation. Based on the severity of the employee conduct, progressive discipline may not be applicable. Supervisors imposing discipline shall afford Due Process to the employee prior to suspending or terminating any employee. Types of discipline include:

(1) Suspension.

(a) Under no circumstances will a suspension exceed ten (10) working days.

(b) It may be necessary to restrict an employee immediately from performing duties at the work site. These circumstances usually involve potential danger to the employee, co-workers or the public, or the employee's inability to discharge assigned duties satisfactorily. In these situations, the following procedure is to be followed:

1 Once the employee is suspended, the supervisor taking the action to suspend an employee will immediately notify the Executive Director and prepare a written statement of action taken and the reasons for such action.

2 The Executive Director will prepare, together with the supervisor, the statement of charges and document any supporting evidence.

3 As soon as possible after the initial action, the Executive Director will prepare written notification to the affected employee.

(c) In no event will the use of paid time be allowed during a period of suspension without pay. Should a paid holiday occur during a period of suspension without pay, the suspension period shall be extended by the number of holidays occurring during the suspension period.

(d) All suspensions shall be unpaid. No employee may be disciplined by issuance of a suspension with pay.

(e) A suspended employee who has been vindicated of any wrongdoing shall be compensated for lost wages and benefits.

(2) Termination.

b. The supervisor shall notify the Department of Personnel of all disciplinary actions.

32. Alternative Dispute Resolution. In an effort to provide employees with a method to resolve conflict within the workplace, the Ho-Chunk Nation has elected to implement alternative dispute resolution prior to and, in some cases, in lieu of the grievance process. It is the policy of the Ho-Chunk Nation to afford all eligible employees who have been subject to discrimination or harassment a means of having the circumstances of such action reviewed by an impartial and objective mediator. The Department of Personnel will take all reasonable steps to investigate all complaints. The Department will conduct mediations by facilitating discussions between parties requesting the assistance of the Department of Personnel in resolving their disputes in accordance with the Personnel Department's rules and procedures for mediation.

33. Grievances.

- a. Employees may seek administrative and judicial review only for alleged discrimination and harassment.
- b. Initial Probationary or Limited Term Employees may not grieve on any matters, save those listed in paragraph a, above.
- c. Performance Evaluations may not be grieved, and may not be reviewed under the administrative review process or judicially.
- d. Candidates for employment may file a complaint with the Department of Personnel regarding the interview and selection process and may elect to file a complaint directly with the Grievance Review Board.

34. Administrative Review Process.

a. Policy.

(1) The Department of Personnel will take all reasonable steps to investigate any incident, which has resulted in disciplinary action. It is the policy of the Ho-Chunk Nation to afford all eligible employees who have been subject to suspension or termination a means of having the circumstances of such disciplinary action reviewed by an impartial and objective Grievance Review Board (Board).

(2) Employees are entitled to grieve suspensions or terminations to the Board. The Board will be selected from a set pool of employees and supervisors with grievance training, who will review a case and determine whether to uphold the discipline.

(3) Following a Board decision, the employee shall have the right to file an appeal with the Ho-Chunk Nation Trial Court (Court).

(4) Employees electing to appeal to the Board and to the Court may do so freely and without fear of reprisal. This policy and procedure shall be the exclusive remedy for employment review of a disciplinary action.

b. Grievance Review Board. There shall be a Grievance Review Board to hear grievances for both non-supervisory and supervisory employees.

(1) For non-supervisory employee grievances, the Board will consist of five (5) members; two will be non-supervisory employees, two will be supervisory employees, and one designated legal representative of the Department of Personnel will hear the case.

(2) For supervisory employee grievances, reviews, the Board will consist of three (3) members; one designated legal representative of the Department of Personnel and two supervisory employees at the same supervisory level or above as the grieving employee.

c. Notification of Disciplinary Action. At the time an employee is notified of disciplinary action, the employee shall be advised of his or her right to a hearing before the Grievance Review Board.

d. Request for a Hearing. An employee must request a hearing within five (5) business days of the date the disciplinary action was taken. At the time the employee requests a hearing, he or she must inform the Department of Personnel if he or she is to be represented by an attorney. If so, the attorney must also file for an appearance with Department of Personnel within five (5) days of the date the employee requested a hearing. Failure to request the hearing within this time frame will result in the forfeiture of a hearing by the Board.

e. Witnesses and Evidence.

(1) Ten (10) days prior to the hearing, the employee and supervisor shall each provide the Department of Personnel with a list of all witnesses they intend to call at the hearing. They shall also present copies of any documentary evidence that they would like to submit to the Board.

(2) Both parties may amend or supplement their original witness list and/or submit additional documentary evidence within five (5) days after receiving the other party's list of witnesses and evidence.

(3) Time Limitations. Failure to abide by any of the above time requirements will prohibit the non-compliant party from introducing documentary evidence or presenting witnesses to the Board. For the purposes of this section, "days" shall be calculated using business days. Exceptions to any of the above time frames must be approved by the Executive Director, Department of Personnel.

f. Hearing Procedure.

(1) Review of Record. The Board will convene to review the records submitted to the Board prior to appearance by the grievant and supervisor to present their cases. Staff of the Department of Personnel shall also appear and be available to advise all participants with regard to policy and procedure.

(2) Supervisor's Presentation. The supervisor or his or her representative shall present to the Board the reasons why management believes that the disciplinary action should be upheld. The supervisor or representative may call witnesses at this time. This presentation shall not exceed two hours without the Board's permission.

(3) Employee's Presentation. When the supervisor's presentation has concluded, the employee shall present to the Board the reasons why he or she believes that the disciplinary action should not be upheld. The employee may call witnesses at this time. This presentation shall not exceed two hours without the Board's permission.

(4) Questions.

(a) Both parties shall have the right to ask questions of any witnesses.

(b) The Board members may ask questions of either party and may call for any additional information as they deem necessary in reaching a decision. If it requires information that is not readily available, the Board may accept into the record such additional information or choose to suspend the meeting and reconvene when the information is available.

(5) Final Comments. After both parties have made their presentations, and if the Board has no additional questions, then both parties shall have the opportunity make brief and concise final comments not to exceed fifteen minutes without the Board's permission.

g. Proceedings of the Board. At the commencement of a hearing before the Grievance Board of Review, the Department of Personnel will discuss with the Board their responsibilities and obligations including, but not limited to, the following:

(1) The proceedings are confidential.

(2) The proceedings, except for deliberations, will be tape-recorded.

(3) The Board may ask questions of either party and request additional evidence at any time.

(4) The Board may instruct the parties that it has heard sufficient information to make a recommendation, or that the information being offered is not relevant. Aside from relevancy issues, formal rules of evidence do not apply. The Board has the authority to extend/waive time limitations if it believes that the information offered is relevant and probative of the issues presented as defined below.

(5) The Board shall be responsible to make all relevancy determinations throughout the meeting. In making these determinations, the Board shall consider whether the proposed evidence (either witness testimony or documentary evidence) relates to the disciplinary action and whether it will affect the Board's recommendation. Only witnesses who have had direct involvement in the incident leading to the disciplinary action will be allowed to participate and all questions asked should directly relate to said disciplinary action.

(6) The Board may ask questions of the Department of Personnel relating to employment policies and procedures.

(7) At the conclusion of the presentation of testimony and evidence, the Board will privately deliberate and make a decision within five (5) business days. No record of the Board's deliberation will be made. The decision of the Board shall describe the facts

of the case and determine whether the facts support a violation of the Employment Relations Act or applicable Unit Operating Rules.

h. The Board shall have the authority to direct the Executive Director of Personnel to execute the appropriate remedy consistent with the determination of the Board.

35. Judicial Review.

a. Waiver of Sovereign Immunity. Pursuant to Article XII of the Constitution of the Ho-Chunk Nation, the Ho-Chunk Nation Legislature expressly waives the sovereign immunity of the Ho-Chunk Nation in the limited manner described herein. This waiver shall be strictly construed.

b. There is no judicial review of employee evaluations or disciplinary actions that do not immediately result in suspension or termination.

c. Judicial review of a grievance involving suspension, termination, discrimination, or harassment may proceed to the Ho-Chunk Nation Trial Court only after the Administrative Review Process has been exhausted through the Grievance Review Board. An employee may appeal a Board decision to the Trial Court within thirty (30) calendar days of when the Board decision is served by mail.

d. Relief.

(1) This limited waiver of sovereign immunity allows the Trial Court to award monetary damages for actual wages established by the employee in an amount not to exceed \$10,000, subject to applicable taxation.

(2) The Trial Court may grant equitable relief mandating that the Ho-Chunk Nation prospectively follow its own law, and as necessary to directly remedy past violations of the Nation's laws. Other equitable remedies shall only include:

(a) an order of the Court to the Executive Director of the Department of Personnel to reassign or reinstate the employee;

(b) the removal of negative references from the employee's personnel file;

(c) the award of bridged service credit; and

(d) the restoration of the employee's seniority.

(3) Notwithstanding the remedial powers noted above, the Court shall not grant any remedies that are inconsistent with the laws of the Ho-Chunk Nation. Nothing in this limited waiver or within this Act shall be construed to grant a party any legal remedies other than those included in this section.

e. Under this limited waiver of sovereign immunity, the Court shall review the Board's decision based upon the record before the Board. Parties may request an opportunity to supplement the record in the Trial Court, either with evidence or statements of their position. The Trial Court shall not exercise *de novo* review of Board decisions. The Trial Court may only set aside or modify a Board decision if it was arbitrary and capricious.

36. Employee Rights.

a. Employees have the right to be represented by legal counsel or advocate at their own expense, including the right to hear the charges, evidence and witnesses against him or her, and the right to cross-examine.

b. It is a violation of this Act for any employee or member of the Ho-Chunk Nation to interfere with, threaten, coerce, restrain, discharge or otherwise take action against any employee or other person because he or she has filed a complaint, gave or will give testimony, or otherwise appeared before a court of the Ho-Chunk Nation or any of Ho-Chunk committee, agency, or board in connection with a grievance or an appeal.

c. Retaliation or punishment of an employee seeking resolution of an employment grievance by using established or prescribed procedures is strictly prohibited.



CHAPTER VI DRUG, ALCOHOL AND CONTROLLED SUBSTANCE POLICY

37. **General.**

a. The Ho-Chunk Nation has a vital interest in maintaining a safe, healthy, and efficient working environment for its employees, contract service providers, and elected and appointed Officials, and each of these parties has the right to expect such working conditions are maintained. Being under the influence of drugs, controlled substances, or alcohol on the job poses a serious health and safety risk to the user, as well as other employees, contract service providers, and Officials of the Nation. The possession, use, or sale of an illegal drug or controlled substance in the workplace also poses unacceptable risk to a safe, healthy, and efficient work environment.

b. The Ho-Chunk Nation recognizes that its own well-being and future success as a Nation and an employer are dependent on the physical, mental, and emotional health of its employees. Accordingly, it is the right, obligation and intent of the Nation to maintain a safe and healthy work environment to protect its employees, property, equipment, operations, goodwill, and customers.

38. **Purpose.**

a. This Chapter promulgates and implements policy to maintain a Drug Free Work Place by establishing procedures for pre-employment screening, employee education and assistance, employee testing, and employee disciplinary action for the use, possession, or sale of illegal drugs, controlled substances, and alcohol, as well as for breach of employee confidentiality.

b. This Chapter also provides the Nation's Zero Tolerance Policy for drugs, controlled substances, and alcohol for elected and appointed Officials of the Ho-Chunk Nation.

39. **Policy.**

a. General. As a condition of employment, all employees, supervisors, contract service providers, and elected and appointed Officials must abide by the terms of this policy and the procedures contained herein.

(1) Employees, contract service providers, and elected or appointed Officials are expected to report for work and remain at work in a condition, which enables them to perform their duties and tasks free from the effects of drugs or alcohol.

(2) The possession, use, sale, purchase, or distribution of illegal drugs or controlled substances, or being under the influence of alcohol on the Nation's premises or in the conduct of related work off-site is prohibited.

(3) It is the responsibility of all supervisors to enforce this Drug, Alcohol and Controlled Substance Policy. Failure to enforce this Policy may result in disciplinary action up to and including termination. Nothing in this Policy precludes supervisors from establishing work or safety rules, which apply to their particular department and specified functions.

(4) Employees, contract service providers, and elected or appointed Officials suspected of being impaired by being under the influence of drugs or alcohol shall be escorted from the work site by the employee's supervisor or security personnel to a safe and secure area. The supervisor shall immediately document the incident and initiate Reasonable Suspicion Testing (see Section 45).

(5) Employee, contract service providers, and elected and appointed Officials rights shall not be violated. Any breach of confidentiality by an employee or supervisor will result in disciplinary action up to and including termination or removal.

b. Peyote. The use, possession, and/or transportation of peyote by Native American Church members in connection with the practice of the Native American Church (NAC) ceremony will not be considered to violate this Policy. The employee, contract service provider, or elected or appointed Official will not be subject to disciplinary action on the basis of such use, possession, or transportation in connection with the practice of the NAC.

c. Zero Tolerance Policy for Elected and Appointed Officials.

(1) Elected and appointed Officials of the Nation are to be held to the highest standards of compliance with the Nation's drug, alcohol, and controlled substance policies. See paragraph 4lm for a definition of "Official." Conduct of official duties by an elected or appointed Official while under the influence of drugs or when impaired by alcohol, as reasonably established by breath or blood alcohol and/or urinalysis testing shall not be tolerated and shall:

(a) Constitute malfeasance in office for purposes of Article IX, Sections 1 and 2 of the Constitution;

(b) Constitute good cause for removal under Article IX, Section 3 of the Constitution;

(c) Constitute good cause for removal under Section 805 of the *Gaming Ordinance*;

(d) Constitute good cause for removal of Election Board Members under paragraph 4d of the *Election Ordinance* (2 HCC § 6).

(e) Constitute malfeasance for the purposes of paragraph 5n of the *Code of*

Ethics Act (2 HCC § 1); and

(f) Result in the immediate removal by the President of an Executive Director or other presidential appointed Officials from the position in which they serve if a violation of the Zero Tolerance Policy.

(2) Alcohol Related Misconduct associated with official duties by an Elected or Appointed Official shall be a violation of this Policy punishable by unpaid suspension for three (3) to ten (10) days or, if involving conduct of sufficient severity, by termination or removal as subject to the supervisor's discretion exercised in accordance with the Nation's Constitution and laws. During the Conduct of Official Duties, the stricter standards of paragraph (1), above, shall apply.

(3) Should there be a conflict in the application of the Zero Tolerance Policy and the Nation's other drug, alcohol, and controlled substance policies and procedures for elected and appointed Officials; the Zero Tolerance Policy shall prevail.

d. Legal Drugs.

(1) The use of, or being under the influence of, physician prescribed ("legal") drugs by an employee, contract service provider, or elected or appointed Official while in the workplace, or while on work related travel, is prohibited to the extent that such use or influence may, in the Nation's opinion, affect the safety of co-workers or members of the public, the employee's, contract service provider's, or elected or appointed official's job performance, or the safe and efficient operation of the Nation's facilities. Failure to report to management the use of prescription or legal drugs, which by their nature may impair the employee's, contract service provider's, or elected or appointed Official's abilities to perform his/her duties, may result in disciplinary action by management up to and including termination or removal.

(2) If management has determined that the employee, contract service provider, or elected or appointed Official does not pose a threat to her or his own safety, the safety of co-workers, and that the employee's, contract service provider's, or elected or appointed Official's job performance is not significantly affected by the legal drug, the employee, contract service provider, or elected or appointed Official may continue to work, even though they may be under the influence of a legal drug.

(3) If management has determined that the employee, contract service provider, or elected or appointed Official does pose a threat to her or his own safety, the safety of co-workers, and that the employee's, contract service provider's, or elected or appointed Official's job performance is significantly affected by the legal drug, the employee, contract service provider, or elected or appointed Official may be required to take a leave of absence, or comply with appropriate directive as determined by management.

(4) Any violation of this section will subject the employee, contract service provider, or elected or appointed Official to disciplinary action, up to and including termination or removal.

e. Illegal Drugs.

(1) The manufacture, possession, use, purchase, procurement, dispensation, or distribution of an illegal drug or illegal controlled substance or being under the influence of same, by any employee, contract service provider, or elected or appointed Official while in the workplace, on Nation premises, or in the conduct of related work off-site is prohibited. This will subject the employee, contract service provider, or elected or appointed Officials to disciplinary action up to and including termination or removal, and referral to law enforcement for prosecution.

(2) The use of another person's legally prescribed drugs is a violation of this Policy and shall constitute a positive drug test result due to the illegal procurement and use of controlled substances.

f. Alcohol.

(1) The consumption of alcohol or being under the influence of alcohol during working hours is prohibited and will subject the employee, contract service provider, or elected or appointed Official to disciplinary action, up to and including termination or removal. The purchase of alcohol, even if for later off-duty consumption, while being either an operator or a passenger in any Tribal owned or rented vehicles is likewise prohibited.

(2) The Nation will conduct testing for alcohol utilizing both breath alcohol and blood alcohol testing, especially where circumstances, accidents or other incidents in the workplace justify. A positive alcohol test shall be treated the same as a positive drug test for the purposes of the disciplinary rules stated Section 49.

(3) The Nation shall designate a Certified Technician(s) who shall be responsible for administering breath alcohol testing utilizing an Alco Sensor IV RBT IV unit or another comparable or appropriate breath alcohol testing unit.

(4) A breath alcohol concentration equal to or greater than 0.02 is a positive result and the employee or contract service provider shall be subject to disciplinary action consistent with Section 50. The Supervisor, Compliance Division, or Security shall arrange for transportation of the employee or contract service provider to his/her residence.

(5) The Nation provides an Employee Assistance Program (EAP), which provides help to employees who seek assistance to help with problems. See Section 50.

40. Definitions.

a. “Alcohol Concentration” means either of the following:

(1) The number of grams of alcohol per 100 milliliters of a person’s blood.

(2) The number of grams of alcohol per 210 liters of a person’s breath.

b. “Alcohol Related Misconduct” associated with official duties means a conviction for any alcohol related driving offense, physical altercation, or other serious wrongful conduct by an elected or appointed Official in which alcohol consumption is established by substantial and reliable evidence to be a contributing factor during travel, meal, and lodging time associated with meetings or other responsibilities regarding the conduct of official business for which the appointed or elected Official is eligible to receive per diem under this Act. For the purposes of this definition, “substantial and reliable evidence” shall mean a breath or blood alcohol test administered by a certified tester showing an alcohol concentration of over 0.01 or credible eyewitness testimony of two (2) or more persons of the consumption by the subject of four (4) or more alcoholic beverages during a period of not more than three (3) hours.

c. “Conduct of Official Duties” means the normally scheduled work duties of elected and appointed Officials whether during the regular workday or at other official meetings, including Area meetings. Conduct of Official Duties does not include informal occasions such as receptions, dinners, and similar events at which no official business is transacted.

d. “Contract Service Provider” means a person who is providing services to the Nation pursuant to a Service Provider Agreement and who is treated for tax withholding purposes as though he or she is an employee of the Nation.

e. “Controlled Substance” means any controlled substance, dangerous drug(s) or intoxicating compound as defined under federal or state law and includes, but not limited to, narcotics, opiates, hallucinogens, stimulants, marijuana and so-called “designer drugs.”

f. “EMIT” means Enzyme Multiplied Immuno Technique, which is an initial test that identifies which class of drug(s) is present, but not which specific drug(s).

g. “False Negative/Water Dilution” is a way of a possible false negative result that results when large amounts of fluids are ingested or water is added to the specimen after urination.

h. “GC/MS” means Gas Chromatography Mass Spectrometry, which is the confirmatory test that is done after an initial positive test is detected. It will identify that a drug(s) is present and identify which specific drug(s) was ingested, injected, or inhaled and at what concentration it is still present in the person’s system.

i. “Illegal Drug” or “Illegal Controlled Substance” means any drug(s) or controlled substance(s), which is not legally obtainable, or has been legally obtained is being used in a manner inconsistent with the prescribed dosage or by an individual other than the person the medication was originally intended. The so-called “Designer Drugs” are included in this category.

j. “Impaired” means an alcohol concentration established by properly administered breath alcohol and/or blood test to be equal to or in excess of 0.02.

k. “Initial Drug Test” is that test administered to a new employee or contract service provider within the first 30 days (guideline) of employment. The initial drug test on occasion may be given after the first 30 days where the Compliance Department work load and logistics capability do not make it practical to administer the test within the 30 days.

l. “Legal Drug” means any prescribed drug(s), over-the-counter drug(s), or prescribed controlled substance(s), which has been legally obtained and is being used in the dosage prescribed according to the manufacturer’s and/or physician’s instructions.

m. “Official,” for the purposes of the Nation’s Zero Tolerance Policy, means any person who:

(1) Holds elective office or is a candidate for elective office; or

(2) Is an appointed professional and includes Judges, Department Executive Directors, Gaming Commissioners, and an appointed member of the President’s staff.

n. “Reasonable Suspicion” means that level of suspicion established on the basis of particular facts and/or observation by an agent, fellow employee, or supervisor concerning employee behavior, comments, or significant changes in work product that would cause a reasonable and prudent person under the same or similar circumstances to believe that an employee has violated the Nation’s drug policy.

o. “Reasonably Established” means that level of drug, alcohol, or controlled substance detected in a person that is determined by a breath or blood alcohol and/or urinalysis test.

p. “Under the Influence” means:

(1) With respect to any drug or controlled substance, that substance is present in a person in any detectable amount based on the results of medically validated testing.

(2) With respect to alcohol, the alcohol concentration of a person established by a properly administered breath alcohol and/or blood alcohol test is in excess of 0.10.

41. Pre-Employment Screening. The Ho-Chunk Nation will use pre-employment screening practices to prevent the hiring of individuals who use illegal drugs or illegal controlled substances, or individuals whose use of legal drugs or legal controlled substances indicates a potential for impaired or unsafe work performance. These provisions apply to contract service providers as well as employees.

a. All applicants will be advised that the final candidates for any position, full or part-time, will be tested for drugs and controlled substances as a condition of employment.

b. Any applicant or final candidate who, after being advised that testing is a condition of employment, refuses testing for drugs and/or controlled substances, without a valid reason, will not be hired.

c. Any applicant admitting to current misuse of drugs and/or controlled substances will not be employed. The applicant will be asked to sign a statement or disclosure stating that they understand the reason for non-employment with the Nation.

d. All final candidates will be asked to complete a Drug Policy Checklist in which candidates agree to take a drug test as a condition of employment with the Nation. Furthermore, the candidates shall acknowledge that he/she understands the requirement as well as the potential consequences of all violations of the Nation's Drug, Alcohol and Controlled Substance Policy.

42. Initial Drug Test. All employees and contract service providers will be tested within 30 days of employment at each facility for an initial drug screen. On occasion the Initial Drug Test may be given after the 30 days where the Compliance Division's workload and logistics do not make it practical to administer the test within 30 days. Therefore, failure to administer the Initial Drug Test within 30 days of hire shall not be deemed a waiver of the requirement for an Initial Drug Test for each employee or contract service provider.

a. Compliance Division personnel shall in most cases arrive unannounced at the employee's or contract service provider's work site to administer the Initial Drug Test.

b. Any refusal or failure to comply with this test, absent a valid medical reason, will result in termination.

c. If the test result of the employee's or contract service provider's drug test is positive, the employee or contract service provider will be terminated from employment with the Ho-Chunk Nation.

d. Should an employee be subject to random or reasonable suspicion testing prior to his/her Initial Drug Test, the random or reasonable suspicion test will be considered an Initial Drug Test and a positive test result will subject the employee to termination.

43. Random Drug Testing.

a. All employees of the Nation facilities shall be subject to random unannounced drug testing. Employees will be selected using a double blind computerized formula administered by an independent consulting firm. At a minimum, forty (40%) percent of all active employees shall be tested annually. Once notified, the employee will report directly for testing.

b. Compliance Division personnel shall, in most cases, arrive unannounced at the employee's work site to administer random drug and alcohol tests.

c. Any refusal or failure to comply with this testing, absent a valid medical reason, will result in termination of employment.

d. The Nation shall include contract service providers as part of the population randomly tested.

e. Elected or appointed Officials of the Nation that are not employees of the Nation may be subject to initial and random drug testing while serving in their official capacity under the Zero Tolerance Policy. Any refusal by such an appointed or elected Official shall be deemed in violation of paragraph 39c of this Chapter.

f. If the result of the employee's or contract service provider's drug test is positive and the person has not had an initial drug test, that person shall be terminated. See paragraph 39c for elected and appointed Officials subject to the Zero Tolerance Policy.

44. Reasonable Suspicion Testing.

a. The Nation may require testing of employees, contract service providers, or elected or appointed Officials suspected of being in violation of the Nation's drug and alcohol policy or where circumstances (i.e., accidents, workplace incidents, etc.) indicate that drug or alcohol use may be involved based on the Reasonable Suspicion standard. Strict procedures have been established (available through the Department of Justice Compliance Division) for determining under what circumstances such a test shall be requested. The procedure includes a number of review steps. An employee's, contract service provider's, or elected or appointed Official's refusal to consent to testing shall result in termination or removal.

b. Any employee, contract service provider, or elected or appointed Official of the Nation that has direct knowledge or has reason to believe that another employee, contract service provider, or elected or appointed Official may be under the influence of alcohol and/or drugs shall report this to the Compliance Division and complete a Reasonable Suspicion Checklist. All information is confidential and will not be revealed without a Ho-Chunk Nation Trial Court Order.

c. The Director of Compliance or designee shall review the Reasonable Suspicion Checklist and either approve or deny a Reasonable Suspicion Test.

d. If the Reasonable Suspicion Test is approved, Compliance Division personnel shall arrive unannounced at the employee's or contract service provider's work site to administer the random test. Elected or appointed Officials of the Nation that are not employees of the Nation may be tested only when serving in their official capacity.

e. Should the Reasonable Suspicion involve alcohol, the employee, contract service provider, or elected or appointed Official will be administered a breath alcohol test in private by a Certified Technician. If this test is positive, a second confirmatory test shall be conducted as well as urinalysis testing.

f. Any refusal or failure to comply with Reasonable Suspicion Testing, absent a valid medical reason, will result in termination or removal.

g. If the result of the employee's or contract service provider's drug test is positive and the person has not had an initial drug test, that person shall be terminated. See paragraph 39c for elected and appointed Officials subject to the Zero Tolerance Policy.

h. In order to limit accident and liability exposure, managers will not allow employee's, contract service providers, or elected or appointed Officials who are unable to perform their assigned duties due to drug or alcohol related impairment to leave the work premises without an escort.

45. Drug and Alcohol Testing for Employees Required to Possess a Commercial Drivers License (CDL).

a. All employees and contract service providers that are required by job description to possess a commercial drivers license are subject to drug and alcohol testing.

b. If the test result of the employee's or contract service provider's drug test is positive, the employee or contract service provider will be terminated from employment with the Ho-Chunk Nation.

c. Any refusal or failure to comply with this test, absent a valid medical reason, will result in termination or removal.

46. Off-Duty Involvement with Drugs, Alcohol, and Controlled Substances. The Nation reserves the right to take disciplinary action, including termination or removal, for an employee's, contract service provider's, or elected or appointed Official's off-duty involvement with drugs, alcohol, or controlled substances. Off-duty involvement includes, but is not limited to, incidents where such involvement is, in the Nation's view, damaging to the Nation's reputation or business, and/or is inconsistent with the employee's, contract service provider's, or elected or appointed Official's duties or image, or when the off-duty behavior constitutes criminal behavior. This may include the

review of criminal records for convictions with respect to drugs, alcohol, and controlled substances.

47. Part-time, Summer, and Contract Personnel. The provisions of this Policy are applicable to all part-time, summer, and contract personnel.

a. All part-time and summer personnel who could pose a potential for impaired or unsafe work performance shall be tested for drugs, alcohol, and/or controlled substances.

b. Contract vendors shall not provide contract employees who use illegal drugs or illegal controlled substances, or individuals who use legal drugs or legal controlled substances that could pose a potential for impaired or unsafe work performance.

c. All youth employees shall be referred to Traditional Court or Clan Mothers for family intervention for positive results for drug, alcohol, and addiction problems.

48. Searches.

a. The Nation reserves the right to conduct unannounced searches for illegal drugs or illegal controlled substances on the Nation's premises.

b. For purposes of the Zero Tolerance Policy, elected and appointed Officials who are not employees of the Nation may only be searched while serving in their official capacity.

c. The Department of Justice Compliance Division shall authorize all searches conducted on the Nation's premises. The Compliance Director or designee will coordinate with Department of Justice personnel and local law enforcement officials as appropriate.

d. Reasonable search of employees and their personal property, including vehicles, may be conducted at any time in order to maintain a safe, healthy, and efficient working environment. If and when any offices of the Nation are not on the Nation's property, any searches conducted will be in accordance with state and federal law.

e. Employees, contract service providers, or elected or appointed Officials who refuse to cooperate during an authorized search will be subject to disciplinary action up to and including termination or removal.

f. Should any quantity of illegal drugs, alcohol, and/or controlled substances be found as a result of a proper search, Compliance Division and/or Department of Justice personnel shall locate and escort the employee, contract service provider, or elected or appointed Official to an area with restricted access to other persons. The individual will then be subject to a drug and/or alcohol test and may be subject to arrest.

49. Disciplinary Action.

a. New Employees. New employees or contract service providers that test positive on his or her Initial Drug Test shall be terminated as stated in paragraph 43c.

b. Elected and Appointed Officials. See paragraph 39c for provisions for elected and appointed Officials under the Zero Tolerance Policy.

c. Current Employees and Contract Service Providers. If the result of the employee's or contract service provider's drug or alcohol test is positive, the individual will be placed on probation with the following sanctions:

(1) The length of probation shall be one (1) year and one (1) day from the date the employee or contract service provider is served with the positive test result notification. However, should the employee or contract service provider be terminated for any non-drug policy reason, before he or she has completed probation, he or she shall serve the remaining probationary period.

(2) The employee or contract service provider shall be referred to the Employee Assistance Program (EAP) for an Alcohol and Drug Assessment and will be required to follow through with any recommendations that result from that assessment. **Failure to follow through with the recommendations will be considered a second offense and the employee or contract service provider will be terminated.**

(3) The employee or contract service provider shall sign a wage assignment in the amount of \$240.00. Upon successful completion of probation one half (\$120.00) shall be returned to the employee or contract service provider.

(4) The employee or contract service provider must sign a Condition of Employment Form allowing follow-up testing for up to six (6) months.

(5) Should the employee or contract service provider test positive again during this six (6) month period, this will be considered a second offense and the employee or contract service provider will be terminated.

(6) Should the employee or the contract service provider test positive on any drug test within one the (1) year and one (1) day timeframe, this will be considered a second offense and the employee or contract service provider will be terminated.

(7) After one (1) year and one (1) day of drug free testing, the employee will be put back on a testing program as if he/she were a new hire.

d. Malicious Intent Reports. When a person habitually reports violations of this Policy by persons to whom they have malicious intent and such reports are false, the penalty for such false reports shall be a recurring fine of \$200.

50. Employee Assistance Program (EAP). The Nation maintains a Ho-Chunk Employee Assistance Program (EAP) which provides referral resources and assistance help to employees who may be experiencing a drug, alcohol, or controlled substance problem. The purpose and practices of this Drug Policy and the EAP are not in conflict but are distinctively separate in their applications.

a. It is the responsibility of the each employee to seek assistance from EAP before a drug or alcohol problem leads to disciplinary action. Once a violation of the Nation's Drug Policy occurs, subsequent use of EAP on a voluntary basis will not necessarily lessen disciplinary action.

b. It is the responsibility of supervisors to counsel an employee suspected of drug or alcohol problems to voluntarily seek assistance of EAP.

c. The employee's decision to voluntarily seek prior assistance from EAP will not be used as a basis for disciplinary action and will not be used against the employee in any disciplinary proceedings. On the other hand, using EAP will not be a defense to the imposition of disciplinary action where facts proving a violation of this policy are obtained outside of EAP.

51. Rehiring Procedures for Drug Policy Violations. Employees or contract service providers who are found to be in violation of this drug and alcohol policy and are terminated may be eligible for employment after the following is completed.

a. The time period between termination and re-hiring, contingent on rehabilitation, shall be no less than six (6) months.

b. The employee must furnish a discharge summary indicating successful completion of treatment from a certified AODA counseling facility to the Compliance Division Drug Enforcement Unit.

c. The Compliance Division Drug Enforcement Unit shall certify to the Nation's Department of Personnel the former employee's eligibility for employment.

52. Testing Procedures.

a. The Initial Drug Test will test for at least the following substances:

- Cannabinoids
- Cocaine
- Benzodiazepines
- Opiates
- Barbiturates
- Amphetamines
- Phencyclidine
- Propoxyphene

Methadone
Methaqualone

b. False negative/water diluted tests will be re-tested only one time. After the second “false negative” test the employee or contract service provider will pay for any subsequent testing until a determinative result can be obtained. There will be no more than a forty-eight (48) hour span between any tests given. After three (3) false negative tests without determinative results, the employee or contract service provider will be placed on suspension without pay for up to two (2) weeks until a determinative test is completed. If no determinative test is completed within the two (2) weeks from date of the first test, the employee or contract service provider will be terminated.

c. If the employee or contract service provider is unable to produce an adequate specimen level in the time allotted, the Compliance Division personnel shall notify the employee or contract service provider that he or she is responsible to obtain and submit a medical report from a Licensed Medical Doctor citing a medical reason for the employee’s or contract service provider’s inability to produce a specimen. The employee or contract service provider must submit the report to the Drug Enforcement Unit within two (2) business days from the original date of collection.

d. If an invalid or adulterated result is received by the contracted laboratory, the result shall be considered a violation of this Policy and the employee or contract service shall be subject to disciplinary action consistent with Section 49 of this Policy.

e. All initial positive tests will be confirmed with a second testing procedure to eliminate false-positive results. The initial test will be performed by EMIT. The confirmation test will be GC/MS.

f. A chain of custody on all test samples will be utilized at all times.

g. Access to test results must be restricted to authorized personnel only. Test results will be secured in a locked container. Without written consent of the employee, information about the results of his/her tests shall not be released to anyone.

53. Reporting Procedures for Drug Policy Violations. When drug test results are received from the laboratory, the Compliance Director or his/her designee will report the drug policy violation to the employee or contract service provider.

a. Employees or contract service providers who have a positive Initial Drug Test will be reported out using the following procedures.

(1) The Compliance Director or designee will coordinate with individual work schedules to report the positive drug test results directly to the employee or contract service provider.

(2) The employee or contract service provider will be given a verbal and written drug test result.

b. Employees or contract service providers who have passed their Initial Drug Test or pre-employment screening, but have subsequently tested positive on a random or reasonable suspicion drug test, will be reported out using the following procedures.

(1) The Compliance Director or designee will coordinate with individual work schedules to report the positive drug test results directly to the employee or contract service provider.

(2) The employee or contract service provider will be given a verbal and written drug test result.

(3) The employee or contract service provider will sign a Condition of Employment Acknowledgement Form, which sets down the conditions the employee or contract service provider must comply with to retain employment.

(4) An explanation will be given to the employee or contract service provider that in order to monitor his or her compliance with the EAP, he or she will need to sign a Consent for Release of Information Form.

(5) The Consent for Release of Information Form allows the Compliance Division to contact the EAP Office and schedule an appointment and to place that appointment on the referral form.

(6) If an employee or contract service provider completed an EAP Alcohol and Other Drug Abuse assessment and does not have a positive drug test for his or her six (6) month condition of employment, but tests positive for a second time within one (1) year and one (1) day, he or she will be terminated.

(7) If the employee or contract service provider tests positive after one (1) year and one (1) day it will be treated as a first positive and referral to the EAP and the signing of the Condition of Employment Acknowledgement Form will be repeated.

(8) Copies of this documentation will be given to the employee or contract service provider, to the appropriate Executive Director and EAP. The Compliance Division will file the originals.

c. If an employee or contract service provider would like a copy of the drug test result, a request must be in written form, notarized, and submitted with self-addressed stamped envelope by mail to: Ho-Chunk Nation, Compliance Division, PO Box 667, Black River Falls, WI 54615.

d. Any breach of confidentiality with respect to reporting drug test results will result in disciplinary action up to including termination.

54. Enforcement of the Zero Tolerance Policy for Elected and Appointed Officials.

a. Presidential Enforcement. The President shall enforce the policies and procedures of the Zero Tolerance Policy for the following persons:

- (1) Department Executive Directors.
- (2) Appointed Presidential Staff Members.

b. Legislative Enforcement. The Legislature shall enforce the policies and procedures of the Zero Tolerance Policy for the following persons:

- (1) Members of the Legislature.

(2) President. If the President is alleged to have violated the Zero Tolerance Policy, the Legislature shall afford the President the option to have a hearing to contest the alleged violation and confront witnesses to establish reasonable cause prior to submitting the matter to General Council.

(3) Chief Justice. If the Chief Justice is alleged to have violated the Zero Tolerance Policy, the Legislature shall afford the Chief Justice the option to have a hearing to contest the alleged violation and confront witnesses to establish reasonable cause prior to submitting the matter to General Council.

- (4) Gaming Commissioners.

c. Judicial Enforcement.

(1) The Chief Justice shall enforce the Zero Tolerance Policy for the following persons:

- (a) Members of the Trial Court.
- (b) Members of the Supreme Court.

d. Termination or removals of elected or appointed Officials shall be effected in accordance with any notice, hearing, and procedural rules that may apply under the Constitution and laws of the Nation. Reasonable hearing rights may be afforded to any other Official at the discretion of the person or body charged with enforcement of this Policy if any issues of fact are presented that are material to the finding of violation of this Policy.

e. Nothing in the Zero Tolerance Policy precludes a Tribal member or employee from reporting alleged violations directly to the Ethics Review Board.

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- 1/4/95 Legislature enacts Drug and Controlled Substance Policy.
- 10/16/01 Legislature amends Drug and Controlled Substance Policy by enacting the Drug, Alcohol and Controlled Substance Policy as Chapter VI to the draft Employment Relations Act (6 HCC § 5) by Legislative Resolution 10/16/01D.
- 10/11/02 Corrects the numbering of paragraph 15. Testing Procedures (renumbered from 17 to 15).
- 10/23/02 Amended and restated by Legislative Resolution 10/23/02B.
- 10/19/04 Restated with enactment of the Employment Relations Act (6 HCC § 5) by Legislative Resolution 12/9/04A.

**CHAPTER VII
WORKER'S COMPENSATION PLAN**

55. Purpose and Scope.

a. The purpose of this Worker's Compensation Plan (Plan) is to provide a system of compensation and medical benefits for the employees of the Nation who suffer Compensable Injuries in the employment of the Nation. Benefits under the Plan are the employee's exclusive remedy against the Nation.

b. All employees, as of the first day of employment with the Nation, are covered for Compensable Bodily Injuries whether the Accident and Bodily Injury occur on or off the Nation's lands. Benefits are limited as indicated in this Plan.

c. This Plan is a self-funded, self-insurance program of the Nation, a sovereign tribal government and is operated for the benefits of its employees.

d. Nothing in this Plan, including any assertion of right of privilege, shall waive, or be construed to work as a constructive waiver of the Nation's sovereign immunity from suit by any party.

56. Definitions. As used in this Plan, the following terms have the meaning indicated:

a. "Accidents" mean a specific occurrence, neither expected nor intended, which causes bodily injury to an employee and arises under circumstances constituting a Compensable Injury.

b. "Administrator" means the company with whom the Nation has contracted to act on behalf of the Nation in the administration of this Plan.

c. "Bodily Injury" or "Injury" means actual physical injury to the body that arises by accident under circumstances that constitute a Compensable Injury. Injuries due to a repetitive or cumulative trauma may be deemed compensable if the condition is established to be solely related to the employment with the Nation and if the employee has no history of a preexisting condition, as established by medical evidence.

d. "Commission" means the Ho-Chunk Nation Insurance Review Commission.

e. "Compensable" or "Compensable Injury" means a bodily injury of an employee caused by an accident when that injury arises out of risk of employment, the injury occurs during a period of employment, and while performing the duties of the employment in or on the premises of the Employer or whenever the Employer requires the employee to perform the employment activities.

f. "Compensation Rates" means 66 $\frac{2}{3}$ percent of the weekly wage as determined under paragraph o, below, subject to the maximum rate adopted by the state's Department of Workforce Development. A reduction of 25 percent of weekly wage will be enforced when safety equipment is required, but not used. Rate of pay determined at the time of injury will be used throughout the term of loss.

g. Dependents.

(1) "Dependent Child" means a natural or legally adopted unmarried child of the employee, including a posthumous child, under eighteen years of age, or under the age of twenty-two (22) if the child is regularly attending a high school, college, university, vocational, or technical school as a full-time employee.

(2) "Dependent Spouse" the lawful wife or husband of the employee, unless voluntary living apart from the employee at the time of the employee's injury or death. A dependant spouse does not include a "common law" spouse.

(3) "Other Dependents" means that stepchildren, grandchildren, nieces, and nephews may be considered dependent but only if actual dependency can be show.

h. "Employee" means any person who performs labor services alone for the Nation for hire at an established wage or salary.

i. "Employer" means the Nation where it has obtained the labor services of a person for hire.

j. "Independent Medical Examination" means the medical examination and/or evaluation of the employee scheduled by the Nation or Administrator at the Nation's expense for the purpose of obtaining medical information or opinion.

k. "Nation" means the Ho-Chunk Nation, also referred to as the Employer, or its designee. Unless otherwise provided herein, the Department of Personnel shall act for the Nation/Employer.

l. "Plan" means the Ho-Chunk Nation Worker's Compensation Plan.

m. "Primary Physician" means a Nation approved health care provider within 75 miles of the employee's home at the time of the injury and from whom the employee receives medical treatment for a Compensable Bodily Injury.

n. "Referral Physician" means a licensed medical doctor or chiropractor to whom the employee is referred by the Primary Physician for further specialized treatment with the approval of the Administrator or the Nation.

o. "Waiting Period" means the first three (3) scheduled days lost, for which no Worker's Compensation benefits will be paid, counted from the first day of disability due

to a Compensable Injury. If the disability continues beyond seven (7) calendar days, compensation is payable for scheduled days lost from the first day of disability. No annual or sick leave may be used for the first three (3) scheduled days lost. If the employee chooses to be paid annual or sick leave, it will be deducted from the loss time paid.

p. “Weekly Wage” means:

(1) For a full-time employee, it is the weekly salary or wage normally earned in a normal full-time week of employment by the Nation.

(2) If the hours worked are irregular or difficult to determine, the average daily wage is determined by totaling the earnings from employment by the Nation over the 26 calendar weeks prior to the injury and dividing the sum by the number of calendar weeks within the 26 week period in which the employee had earnings from employment by the Nation to determine the average work week. The average workweek is then multiplied by the average daily wage to arrive at the Weekly Wage.

(3) In no case are overtime wages considered in determining the Weekly Wage.

(4) If an employee is employed in more than one capacity by the Nation, the earnings of the employee in each will be considered in determining Weekly Wage.

57. Reporting Obligation.

a. An employee must report any injury, no matter how slight, to his or her supervisor no later than the end of the employee’s workday on the day of the accident causing the Bodily Injury. A Bodily Injury may be reported by another on behalf of the employee. Failure to report a job related injury no later than the end of the employee’s workday shall result in the employee not being eligible for compensation and/or medical benefits under this Plan.

b. A supervisor, upon a report of an injury, shall immediately complete an Injury Report Form and forward the Report to the Department of Personnel within 24 hours of the report of an injury.

c. A supervisor upon receiving a report or notice of an employee claim for compensation or benefits under this Plan shall immediately report the claim to the Department of Personnel. The Department shall then notify the Insurance Department.

d. No compensation or medical benefits will be paid if a Bodily Injury is not reported within ten (10) calendar days of the employee first receiving medical treatment for the Injury.

58. **Medical Benefits.** This Plan will pay the cost of all reasonable and necessary first aid, medical, surgical and hospital services incurred by the employee as direct result of a Compensable Bodily Injury subject to the following restrictions.

a. Once an employee has made a second visit to a physician, that physician is the employee's Primary Physician under the Plan. After this second visit, the employee may not change Primary Physician without the approval of the Administrator or the Nation. The Nation reserves the right to require care to be provided by a provider with whom the Nation has a preferred or discount arrangement.

b. This Plan will pay hospital and related charges only for services ordered by the Primary or Referral Physician.

c. This Plan will pay the reasonable and necessary medical costs and the cost of medicines and supplies and equipment of a therapeutic nature to treat the Bodily Injury only if ordered by the Primary or Referral Physician.

d. This Plan will pay surgical charges only if the surgery is done on an emergency basis or if it has been previously approved by the Administrator or the Employer. The Administrator or the Employer may require a second opinion before approving any surgical procedure.

e. This Plan will reimburse the employee for the reasonable cost of mileage and other related expense necessarily incurred to obtain medical treatment other than the cost of childcare. The mileage reimbursement rate shall be that rate as established by the State of Wisconsin for worker's compensation purposes.

f. If the employee unreasonably fails to appear for a scheduled Independent Medical Examination, the responsibility of the Employer for payment under this Plan of medical expenses incurred after the scheduled date of that Examination ceases. Likewise, the Employer's responsibility for payment of all other benefits accruing under this Plan ceases immediately upon that failure to appear.

g. The Administrator or the Nation may contract for the services of a rehabilitation consultant to assist the employee in rehabilitation and return to work efforts. If the employee fails to cooperate in rehabilitation efforts the responsibility of the Employer for payment of all benefits and medical expenses under this Plan will cease.

h. The employee must provide written authorization for present and past medical records when requested by the Administrator or the Nation. If the employee fails to provide authorization within 20 days of a written request to do so, the responsibility of the Employer for payment of all benefits and medical expenses under this Plan will cease.

i. When the employee has reached his or her end of healing, payments for medical costs will cease.

59. Return to Work.

a. Positions with a Compensable Injury or illness will be held for up to three (3) months. At that time the position may be filled by a regular employee. An equivalent position with comparable wage/salary will be offered when the employee is released to return to work.

b. Light duty positions will be restricted up to three (3) months. At the completion of the three (3) months a revaluation will be conducted by the Administrator.

60. Disability Benefits.

a. Temporary Total Disability. Temporary Total Disability is that time, after the Waiting Period when, solely as a direct result of the Bodily Injury, the employee is totally disabled from performing for the Employer the employee's normal duties which the employee was engaged in at the time of the Bodily Injury, or of other light, restricted or modified work that the Employer offers.

(1) Total Disability must be evidenced by medical opinion based on examination and treatment rendered at the time of the claimed disability.

(2) The weekly benefits for Temporary Disability are limited to the applicable Compensation Rate under paragraphs 56f and 56p.

b. Temporary Partial Disability. Temporary Partial Disability is the loss of actual earnings suffered by an employee who has returned to light duty, restricted or modified work offered by the Employer solely because of the ongoing effects of the bodily injury and the employee's physical inability to return to employee's normal duties of Employment with the Nation which the employee engaged in at the time of the Bodily Injury.

(1) The weekly benefits for Temporary Partial Disability is 66 $\frac{2}{3}$ percent of the difference between the Weekly Wage at the time of the Bodily Injury as determined under paragraph 57p and the wage the employee is able to earn in the light duty, restricted or modified work that the Employer offers.

(2) Temporary Partial Disability benefits are limited to the maximum compensation rate under paragraph 56f.

c. Permanent Disability.

(1) This benefit is intended to compensate the injured employee for a permanent loss of or loss of use of a member suffered directly as a result of a Compensable Bodily Injury.

(2) Preexisting disabilities are not to be included when rating a Permanent Partial Disability. A rating of Permanent Partial Disability must represent only that loss resulting solely from the Compensable Bodily Injury.

(3) All ratings of Permanent Partial Disability shall be based on the Permanent Disability Schedule adopted by the Nation and published as Annex A to this Plan.

(4) In cases of Permanent Partial Disability due to injury to a member resulting in less than total loss of the member, not otherwise compensated in this Schedule, compensation shall be paid at the prescribed rate during that part of the time specified in the Schedule for the total loss of the member which the extent of the injury to the member bears its total loss.

(5) Benefits paid for Permanent Partial Disability shall be computed at two-thirds of the average weekly earnings of the employee, up to the maximum weekly benefit established the state's Department of Workforce Development, and multiplied by the calculated proportion of the number of weeks specified in the Schedule.

(6) The amount payable to the employee shall be paid in one lump sum.

(7) Payment will be made as soon as reasonably possible after receipt of the rating by the Administrator, but no later than thirty (30) days after receipt unless the Administrator has scheduled an Independent Medical Examination.

d. Permanent Partial Disability benefits are neither payable concurrently with Temporary Total or Temporary Partial benefits, nor payable to the employee's dependents or heirs, regardless of the cause of death of the employee.

e. The Nation or Administrator will pay Temporary Total or Temporary Partial disability benefits on a weekly basis.

f. If an employee refuses light, restricted or modified work offered by the Employer or becomes voluntary unemployed, or is dismissed for violation of the Employment Relations Act all indemnity benefits will cease.

g. If a Bodily Injury results in disability that is partially due to congenital condition or a prior disease or injury, the benefits payable for the disability will be reduced by the proportion of the disability that is due to the preexisting disability.

h. If the employee unreasonably fails to appear for a scheduled Independent Medical Examination, the liability of the Employer for payment of disability benefits ceases. Likewise, the Employer's responsibility for payment of all other benefits accruing under this Plan ceases immediately upon the failure to appear.

i. Receipt by the employee of Social Security Retirement Benefits will be considered conclusive evidence of retirement and the liability of the Employer for payment of further disability benefits will cease.

j. When an employee has reached his or her end of healing, payment of loss of time will cease.

61. Dependent Benefits. In the event of the death of the employee due to a Compensable Injury, payment of all disability and medical benefits shall cease and a maximum of \$139,800.00 will be payable to the Dependents of the deceased employee. Dependents will receive weekly payments equal to the indicated percentage of the Weekly Wage as determined under paragraph 56p. Weekly payments are subject to the maximum Compensation Rate under paragraph 56f, and will be paid as described as follows.

a. Dependent Spouse alone: 50 percent of Weekly Wage.

b. Dependent Spouse and one (1) or more Dependent Children: $66\frac{2}{3}$ percent of Weekly Wage.

c. One Dependent Child but no Dependent Spouse: 40 percent of Weekly Wage.

d. Two or more Dependent Children but no Dependent Spouse: 60 percent of the Weekly Wage.

e. Other Dependents will receive benefits in the percentage that their provable dependency on the decedent bears to the maximum benefits available and the dependency of the other Dependents. Regardless of the number of Dependents, the maximum benefits will not exceed $66\frac{2}{3}$ percent of the Weekly Wage at the time of injury.

f. If a Dependent Spouse remarries, no further benefits shall be payable to that Spouse. If one or more children remain Dependent, benefits will continue to be paid for the benefit of the Child, or Children, pursuant to paragraphs c and d, above, until they cease to be Dependent.

g. Benefits payable to Dependents shall be paid to them or to any guardian or other responsible party as directed by the Nation for the use and benefit of the Dependents.

h. If a Dependent Child, upon reaching the age of which that Child would cease to be Dependent, is totally disabled due to a physical or mental impairment, benefits will continue to be paid under the appropriate provision above until the disability ends or the maximum is paid, whichever comes first.

i. The Nation or the Administrator will pay Dependency benefits on a weekly basis.

j. In cases where an employee's death results from Compensable Injury, the reasonable expense of burial, not to exceed \$4,000.00, will be paid in addition to any other benefits payable under this section.

62. Recurrence. If, within one (1) year from the date on which an employee has returned to full-time, light, restricted or modified work, the employee, in course of employment by the Nation, suffers a Recurrence of the original Compensable Injury, the Recurrence will be considered a continuation of the earlier claim and injury and subject to the monetary and time limitations of the initial claim. A recurrence occurring in employment other than for present claims is not compensable under this Plan.

63. Election of Remedies.

a. If an employee's Compensable Bodily Injury or death is contributed to or caused by a party other than the employee or the Employer and the employee or Dependents could file a claim or lawsuit against the other party, the employee or Dependents may not present claims under this Plan and against the other party.

b. If the employee or Dependents elect to claim benefits under this Plan, the employee or Dependents must assign their cause of action against the other party to the Nation and cooperate with the Nation and the Administrator in pursuit of the action. Once assigned, the Nation shall bear all costs of collections. If the employee or Dependents fail to assign the cause of action or fail to cooperate in the pursuit of that action, all benefits under this Plan will cease and the employee or Dependents will be required to reimburse the Nation for any benefits paid to or on behalf of the employee or the Dependents under the Plan.

c. If the employee or Dependents elect to pursue a cause of action against the other party, no benefits will be payable under this Plan unless, within a 180 days of the injury, the employee or Dependents assign their claim to the Nation and agree to cooperate in the pursuit of the action. In that event, only benefits accruing or medical or collection expenses incurred after the date of the assignment will be paid under this Plan.

d. If an employee or Dependents have assigned a cause of action to the Nation under this section and if the recovery from that cause of action exceeds the amount paid or payable to the employee or Dependents, any excess, after reimbursement to the Nation of the benefits paid or payable under this Plan and deduction of the costs of collection, will be paid over to the employee or Dependents.

64. Administrator. The Administrator will act on behalf of the Nation in receiving and processing Worker's Compensation claims under this Plan. The responsibility of the Administrator to make determinations and decisions will include, but not limited to, the following areas.

a. Based upon investigation and available medical information, the Administrator will make a determination of the responsibility of the Nation and will either accept or

deny a claim. Within thirty (30) days of receipt of an Injury Report Form, the Administrator will advise the employee and the Nation of its determination.

b. The Administrator will determine the reasonableness and necessity of medical care and charges under Section 58 and will determine amounts payable under the Plan. The Administrator will also approve or disapprove any change of Primary Physician, Referral Physician, or surgical procedure.

c. Based on information supplied by the Employer and/or employee, the Administrator will determine the Compensation Rate payable for Temporary Total, Temporary Partial, Permanent Partial Disability, and for Dependency.

d. The Administrator will determine the length of time during which Temporary Total Disability or Temporary Partial Disability benefits are payable.

e. The Administrator will determine the eligibility of Dependents and the term of any Dependency Benefits payable.

f. In the event of the need to allocate Dependency Benefits between Dependents living in different households, the Administrator will make necessary allocation, based on the obligations, legal or otherwise of the decedent.

g. If an employee claim is subject to the limitations of Section 62, the Administrator will advise the employee and Employer of the effect of this limitation in writing.

h. The Administrator will, on the behalf of the Nation, vigorously pursue any cause of action assigned to the Nation under Section 63.

65. Appeals. The Ho-Chunk Nation will establish an Insurance Review Commission to hear any issues and make any necessary final determination relative to Compensability of Bodily Injury, medical care or charges, extent of Disability, Dependency, or other issues that may arise under this Plan.

a. The Commission will consider evidence, hear witnesses and receive exhibits in keeping with its goal of making a just final determination.

b. The Commission shall not consider any information that has not been provided to the Nation's Insurance Department at least 15 days prior to the Commission has scheduled a Hearing.

c. The Commission will weigh the evidence, testimony of witnesses and exhibits and will make its decision on the basis of the preponderance of evidence and credibility of the evidence and witnesses.

d. The burden of proof in any hearing before the Commission will be on the employee or Dependents.

e. The employee or Dependents may have legal representation at any hearing before the Commission. The cost of representation will be borne by the employee or Dependents.

f. Any employee or Dependent who disagrees with the determination made by the Administrator may request in writing a hearing before the Commission. The Appeal of Insurance Denial Form must be signed, witnessed and returned within 30 days of the date on the denial.

g. The matter will be scheduled for a hearing before the full Commission within 90 days of receipt of the request for a hearing from the employee or Dependents. The employee or Dependents may request an extension of up to 90 days, which must be granted by the Commission.

h. Any decision of the Commission must have the concurrence of a majority of the Commission members to have a legal effect. All decisions of the Commission are final.

i. A Commission decision must be issued in writing and copies must be mailed to all interested parties. The decision need not recite nor review the evidence or testimony nor need compare the merits of the evidence or testimony of the opposing parties. The decision need only set out the final determination of the Commission on all issues before it.

j. The Department of Personnel shall maintain a file of all Commission decisions.

ANNEX A – Permanent Disability Schedule

Annex A (Permanent Disability Schedule)

| <u>Disability</u> | <u>Benefits</u> |
|--|-----------------|
| Loss of arm at shoulder | 500 weeks |
| Loss of arm at elbow | 450 weeks |
| Loss of hand | 400 weeks |
| Loss of palm where the thumb remains | 325 weeks |
| Loss of thumb and the metacarpal bone thereof | 160 weeks |
| Loss of thumb at the proximal joint | 120 weeks |
| Loss of thumb at the distal joint | 50 weeks |
| Loss of all fingers on one hand at their proximal joints | 225 weeks |
| Loss of index finger and the metacarpal bone thereof | 60 weeks |
| Loss of index finger at the proximal joint | 50 weeks |
| Loss of index finger at the second joint | 30 weeks |
| Loss of index finger at the distal joint | 12 weeks |
| Loss of middle finger and the metacarpal bone thereof | 45 weeks |
| Loss of middle finger at the proximal joint | 35 weeks |
| Loss of middle finger at the second joint | 20 weeks |
| Loss of middle finger at the distal joint | 8 weeks |
| Loss of ring finger and the metacarpal bone thereof | 26 weeks |
| Loss of ring finger at the proximal joint | 20 weeks |
| Loss of ring finger at the second joint | 15 weeks |
| Loss of ring finger at the distal joint | 6 weeks |
| Loss of little finger and the metacarpal bone thereof | 28 weeks |
| Loss of little finger at the proximal joint | 22 weeks |
| Loss of little finger at the second joint | 16 weeks |
| Loss of little finger at the distal joint | 6 weeks |
| Loss of leg at hip | 500 weeks |
| Loss of leg at the knee | 425 weeks |
| Loss of foot at ankle | 250 weeks |
| Loss of great toe with the metatarsal bone thereof | 84 weeks |
| Loss of great toe at the proximal joint | 25 weeks |
| Loss of great toe at the distal joint | 12 weeks |
| Loss of second toe with the metatarsal bone thereof | 25 weeks |
| Loss of second toe at the proximal joint | 8 weeks |
| Loss of second toe at the second joint | 6 weeks |
| Loss of second toe at the distal joint | 4 weeks |
| Loss of third, fourth or little toe with the metatarsal thereof | 20 weeks |
| Loss of third, fourth or little tow at the proximal joint | 6 weeks |
| Loss of third, fourth or little toe at the second or distal joints | 4 weeks |
| Loss of an eye by enucleation or evisceration | 275 weeks |
| Total impairment of one eye for industrial use | 250 weeks |
| Total deafness from accident or sudden trauma | 330 weeks |
| Total deafness of one ear from accident or sudden trauma | 55 weeks |

For permanent partial disability not covered by the above schedule, the total number of weeks of indemnity shall be 1,000 weeks and shall be payable at the rate 66⅔ percent of the average weekly earnings of the employee up to a maximum of \$158.00, the earnings to be determined under paragraph 57o of the Plan.