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INDOT Employee Handbook

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Handbook Purpose

This employee handbook is a supplement to the state handbook issued by the State Personnel Department. To the extent that the State’s generally applicable handbook covers a specific subject, those provisions must be followed. This handbook summarizes additional policies and procedures used by the Indiana Department of Transportation.

This handbook is not a contract of employment. The policies, etc., described in the handbook are not conditions of employment and do not constitute either a contract of employment or a contract between the Indiana Department of Transportation and any of its employees. The Indiana Department of Transportation reserves the right to change or terminate any provision or part of this handbook at any time at its sole discretion.

Nothing summarized in this handbook is intended to confer any rights or privileges upon specific employees or to entitle any person to be or remain employed by the Indiana Department of Transportation.

The policies/procedures cited or quoted herein are current as of the time the document was prepared. The employee should, of course, verify what the current status of the law, rule, or policy is when dealing with any matter controlled by specific statutes such as confidentiality and disclosure. If there is any doubt, contact your local Human Resource Division.
INDOT History

Over time the way we think about transportation in Indiana has changed. From dirt roads to a complex web of paved interstates, we have come a long way, and we have changed as the world around us changed. Here is a brief glimpse at how things started as well as some significant milestones in the history of transportation.

Indiana’s "highway network" started out as a series of dirt paths, which settlers created for local travel. Most of the time, these paths did not interconnect, making travel difficult at best.

When automobiles came on the scene in the late 1800s and early 1900s, people wanted better roads to travel. This interest was a national one, sparking the U.S. Congress to offer money to any state that would improve its roads. Indiana took Congress up on its offer and created the Indiana State Highway Commission (ISHC) in 1919. This Commission’s task was to create a highway network that would connect every county seat and every town with a population over 5,000.

The Federal Aid Highway Act of 1956 established what is known today as the Interstate Highway System and signaled the beginning of the largest public works project in U.S. history. The act also established the Federal Highway Trust Fund, marking the first time that tax income from motor vehicles and highway expenditures were linked at the national level. The intent of the legislation was to make the highway program self-financing through the imposition of user fees.

A national highway safety program was initiated with the Federal-Aid Highway Act of 1966. The program established safety standards for motor vehicles and authorized matching grants to carry out safety activities.

The State Highway Commission served Hoosiers well until 1981 when it became the Indiana Department of Highways (IDOH). The Indiana Department of Highways also included the Office of Traffic Safety, the Toll Road Commission and the Toll Bridge Commission.

On July 1, 1989 the Department of Highways underwent another change, combining the Department of Highways and the Transportation Planning Office to become the agency as we know it today—the Indiana Department of Transportation (INDOT).
General Information

This section provides general information and highlights about our operations.

If you have questions about information contained in this section or about an issue that is not addressed here, you should contact your local Human Resource Division.

Central Office 317-232-5192
Crawfordsville District 765-361-5204
Fort Wayne District 260-563-0682
Greenfield District 317-467-3436
LaPorte District 219-325-7544
Seymour District 812-524-3932
Vincennes District 812-895-7306

State of Indiana Handbook can be found at: http://www.in.gov/spd/files/eehandbook.pdf

State Employee Benefit Handbook can be found at: http://www.in.gov/spd/2528.htm.

State Ethics Rules can be found at: http://www.in.gov/ethics

State Personnel Policies can be found at: http://www.in.gov/spd/2396.htm

Attendance and Punctuality
INDOT employees are expected to report to work on time, work their entire scheduled shift and be completely responsible for keeping track of their hours worked. Absenteeism and tardiness unfavorably impact productivity and the overall quality of customer service provided by INDOT. Tardiness and unauthorized absences will be cause for disciplinary action up to and including dismissal from employment.

Time and Labor
INDOT uses two processes to report attendance into PeopleSoft Time and Labor. Some employees are responsible for entering their own attendance directly in Time and Labor. Most employees in the Maintenance areas of INDOT have their attendance entered by their supervisor through the Work Management System (WMS) that updates Time and Labor. In both processes daily entering of time is encouraged. Employees with time coming from WMS will be provided a printed copy of their attendance report to review and sign at the end of the payroll period.
Employees are responsible for tracking their leave balances. The final attendance for the payroll period cannot be submitted before the last scheduled work day in the payroll period. Final submitting of time and supervisor approval is due by a schedule set by your supervisor and/or division payroll administrators. If approved time off is scheduled at the end of a payroll period, submit your time on your last scheduled work day. Supervisors must delegate approval of payroll when they will be on approved leave (i.e. vacation, sick or personal leave) at the end of a payroll period.

Your supervisor will provide you the procedures to follow to enter your time and any special report coding needed.

**Payroll**

A payroll period covers a set two week period and a paycheck is issued biweekly on Wednesday eleven days after the payroll period ends. Your paycheck is available to view as an option under Time and Labor Self Service. Employees are responsible for reviewing and understanding the various payroll codes, accrual and use of paid time, calculations, deductions and benefits that are detailed on their payroll warrant. Report any discrepancies or questions regarding your payroll warrant to your payroll administrator immediately.

**Payroll Administrators**

<table>
<thead>
<tr>
<th>District</th>
<th>Phone Number</th>
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</thead>
<tbody>
<tr>
<td>Central Office</td>
<td>317-233-3686</td>
</tr>
<tr>
<td>Crawfordsville District</td>
<td>765-361-5213</td>
</tr>
<tr>
<td>Fort Wayne District</td>
<td>260-969-8218</td>
</tr>
<tr>
<td>Greenfield District</td>
<td>317-467-3931</td>
</tr>
<tr>
<td>LaPorte District</td>
<td>219-325-7503</td>
</tr>
<tr>
<td>Seymour District</td>
<td>812-524-3701</td>
</tr>
<tr>
<td>Vincennes District</td>
<td>812-895-7303</td>
</tr>
</tbody>
</table>

**Benefits**

The State of Indiana offers its employees a comprehensive benefits package including health, dental, vision and life insurance. There is a limited timeframe for enrollments into these programs upon hire and annually for updates, so be sure to check with your local Human Resource Division for the appropriate timelines. After six months of employment, employees begin participation in the State’s short and long-term disability program. INDOT employees are participants in the Public Employees’ Retirement Fund (PERF) and Hoosier Start upon hire which is made up of a pension and an annuity savings account.

Changes in family status, such as marriage/birth of child, must be reported as soon as possible but no later than 30 calendar days from the date of the event to allow changes or additions to your benefits plans.

For benefits information, contact the State of Indiana Personnel Department at: 855-773-4647.
Change in Personal Information
Change of address, phone number, name or emergency contact information must be reported to your division Payroll Administrator and changed in PeopleSoft under the Self Service Module immediately. Changes in beneficiary information for life insurance, PERF and Deferred Compensation may be made at any time and should be reviewed frequently to ensure accuracy.

Employees are responsible for submitting an updated W-4 (Federal) and W-H4 (State) form for exemption changes.

Complaint Procedures
Employees can file complaints concerning a law, rule or policy they feel has been violated. Civil service complaints must be initiated within 30 calendar days of occurrence. The complaint form must be used and must identify the law, rule or policy that was allegedly violated and the remedy sought. An employee who does not initiate the complaint procedure within the 30 day period waives the right to file that complaint.

Civil service complaints involve a three (3) step process:

Step 1: Submit completed complaint form; district employees are to submit form to the district human resource manager and central office employees are to submit the form to the employee relations specialist. The district HR manager or employee relations specialist will review the complaint and will forward the complaint to the Appointing Authority for review.

Step 2: If you are not satisfied with the decision at Step 1, you may submit your complaint to the State Personal Division in Indianapolis. Please call 1-855-773-4647 for instructions to submit a complaint at step 2. You have 15 days after the decision on Step 1 to submit your complaint to the State Personnel Division.

Step 3: If you are not satisfied with the decision at Step 2, you may submit your complaint to the State Employees’ Appeals Commission at 100 North Senate Avenue, Room 1049, Indianapolis 46204. You have 30 days after the decision on Step 2 to submit your complaint to State Employees’ Appeals Commission.

Corrective Action
Any action taken is in accordance with IC 4-15-2.2-24 which states “An employee in the unclassified service is an employee at will and serves at the pleasure of the employee’s appointing authority. . . . and may be dismissed, demoted, disciplined or transferred for any reason that does not contravene public policy.”
Drug Free Workplace
INDOT is committed to providing and maintaining a drug free workplace. The unlawful manufacture, distribution, dispensation, possession or use of a controlled substance is prohibited in the workplace. Controlled substances include but are not limited to, marijuana, cocaine, heroin, amphetamines and depressants (21 U.S.C. 812). In addition, any employee convicted of violating a criminal drug statute in the workplace must notify INDOT within five days of the conviction. Adherence to the above is a condition of your employment. Employees violating the above, under the influence of a controlled substance or alcohol on state premises, while acting on behalf of the State, or using State property/equipment will be subject to disciplinary action, including dismissal.

All employees who are required to maintain a Commercial Drivers License (CDL) in order to perform their job duties or whose jobs are safety critical are subject to drug and alcohol testing. The testing includes pre-employment, random, reasonable suspicion, post-accident and return to duty tests. Any employee whose job is subject to drug and alcohol testing and tests positive, refuses to test or attempts to falsify a test will be terminated.

http://www.in.gov/spd/files/dafw.pdf  
http://www.in.gov/spd/files/dafwp.pdf  
http://www.in.gov/spd/files/datp.pdf  
http://www.in.gov/spd/files/datp_rp.pdf

Employee Development Division
Mission
To promote the professional growth of our employees through innovative initiatives that support INDOT’s strategic goals and contribute to the current and future success of the entire INDOT family.

Values
Growth: Employees are the cornerstone of our success. We will provide opportunities to enhance personal and professional growth in support of INDOT’s strategic goals.
Diversity: We appreciate diversity and recognize that different viewpoints, experiences and backgrounds are central to understanding and meeting the unique needs of INDOT’s family/community.
Customer Satisfaction: We are committed to achieving the highest levels of customer satisfaction by listening to our customers and providing quality and dependable service.
Innovation: We continuously strive to innovate what we have and what we do by creatively looking both within and outside “the box” to enhance our products, processes and services.
Simplicity: We strive to eliminate complexity in our process and services.

For assistance contact the Employee Development Division at 317-234-0408.

http://intranet.indot.state.in.us/employeedevelopment/
**Employee Safety**

All employees are responsible for their own safety. In addition, they have the responsibility to their families, fellow workers, community and the State of Indiana to help ensure that everyone makes it home safe at the end of the work day. Therefore, they must observe safe practice rules and instructions relating to efficient performance of work. Safe and efficient operations are reached only when all employees are safety-conscious and keenly alert both mentally and physically.

Safety policies and procedures have been developed to provide guidance while performing your day to day activities. Failure to comply could result in disciplinary action and possibly dismissal. If you have any questions or concerns as to the safest way to perform your job or adhere to division policies, please refer to the Employee Safety Handbook and consult your immediate supervisor.

[http://intranet.indot.state.in.us/safety/index.asp](http://intranet.indot.state.in.us/safety/index.asp)

**Family Medical Leave (FML) Requirements**

30 days in advance:
Notify designated human resources representative and supervisor of anticipated absence due to a family medical leave qualifying reason. In any event where employee receives less than 30 days advance notice of a foreseeable absence, notice must be provided the same day or next business day after employee receives notice of the need for leave.

Prior to beginning of foreseeable leave:
Submit Certification of Health Care Provider FML form to care for a serious health condition of an employee or employee’s spouse, child or parent.

15 minutes (or 1 hour for 24/7 operations) before shift is scheduled to begin:
Notify supervisor of each absence for FML reason and whether accrued leave will be taken concurrently. Failure to meet this time frame may result in denial of requested use of accrued leave, although unpaid FML will be designated as appropriate even if accrued leave cannot be granted.

15 Calendar Days
Submit completed Certification of Health Care Provider form to your designated human resources representative. This time limit begins on the date you learn of the need for leave or the absence begins, whichever occurs first.

7 Calendar Days
Submit any required clarification or authentication of Certification of Health Care Provider form.
Failure to meet any of these time limits, or extensions granted by employer for extenuating circumstances, will result in denial of FML leave and may result in unauthorized leave subject to disciplinary action.

http://www.in.gov/spd/2397.htm

**Hours of Work**
Management shall establish work hours to meet operational needs and shall have the authority to alter working hours to meet those operational needs.

**Jury Duty Selection**
Employees will only be compensated for actual time on jury duty. As a state employee you are eligible for leave without loss of pay for serving on a jury or as a witness in matters relating to employment with the state. Employees are paid their salaries less any amount received from the court, excluding expenses.

Unpaid leave is granted in instances where the employee is subpoenaed in non job-related matters. All leaves must be requested in writing and approved by the appointing authority within your agency.

**Media Inquiries/Customer Service Center**
All media inquiries should be directed to your local Communications Department.

<table>
<thead>
<tr>
<th>Offices</th>
<th>Central Office</th>
<th>LaPorte</th>
<th>Crawfordsville</th>
<th>Seymour</th>
<th>Fort Wayne</th>
<th>Vincennes</th>
<th>Greenfield</th>
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**Overtime**
Employees may be required to work overtime. Your supervisor will inform you when overtime is required and if you qualify for overtime compensation per the Overtime and Work Schedule Policy.

**Resignation**
When you resign from INDOT, you must give at least a two-week written notice in order to leave employment in good standing. Employees that do not give this notice may not be eligible for rehire and will forfeit their vacation refund. Vacation leave may not be used to extend a resignation/retirement date. Employees must also physically work their last day of employment. The notice of retirement or resignation should be provided to your direct supervisor and local Human Resource Division.
**Non-Smoking Policy**

Pursuant to Indiana’s Clean Indoor Air Law, State of Indiana Employee Handbook, and Indiana Government Center Smoke Free Policy, it is the policy of INDOT that smoking is prohibited in all INDOT maintained vehicles, facilities and equipment. The Division of Facilities, with cooperation from District Facilities may establish designated smoking areas outside individual buildings that will not interfere with nonsmokers.

**Travel/Vehicle Use**

All in state travel resulting in an expense must be preapproved by the local Finance Division and/or direct supervisor prior to incurring such expense. If you are required to travel, it may be possible to reserve a vehicle from INDOT’s motor pool. If a motor pool car is not available you may be eligible for reimbursement of miles driven in your personal vehicle. Your supervisor can provide details and the procedures for reserving and using a state vehicle. Only individuals on official State business are authorized to ride in state vehicles and state vehicles are not to used for personal business. You will be responsible for the care of the vehicle while it is in your possession. You must immediately report any problems with the vehicle including accidents and/or damage to your supervisor.

Furthermore, as a driver of a state vehicle, you are expected to obey all traffic laws.

The use of cellular phones while driving is strongly discouraged. If a cell phone must be used while driving, employees should pull over to the side of the road at the safest opportunity or pull into a rest stop or parking lot and stop the vehicle. Texting is not permitted at any time while driving an INDOT vehicle.

A nonexempt employee who has gone home after completing his/her regular work and is subsequently called out to travel a substantial distance (defined as travel in excess of 30 miles of normal commute distance) to perform an emergency job shall have all time counted as working time. For more details on travel guidelines refer to the INDOT Overtime/Work Schedule Policy.

**Reference:** State of Indiana Vehicle Fleet Management Policy issued by the Department of Administration.
Appendix A

State Personnel Department Standardized Policies

It is the employees’ responsibility to fully understand and abide by Indiana Standardized Policies. The comprehensive policies are available at http://www.in.gov/spd/2396.htm

1. Affirmative Action
2. Arrests and Convictions
3. Background Checks for State Employment
4. Drug and Alcohol Free Workplace
5. Drug and Alcohol Testing
6. Holidays
7. Hours of Work/Work Schedules
8. Lactation Support
9. Layoff and Recall
10. Leaves of Absence
11. Leave-Community Service
12. Leave-Emergency Conditions
13. Leave-Family Medical
14. Leave-Funeral
15. Leave-Military
16. Leave-Military Family
17. Leave-Personal
18. Leave-Sick
19. Leave-Vacation
20. Overtime Assignments
21. Performance Management
22. Personnel Files
23. Parental Absence for Child’s Education
24. Salary-Demotion
25. Salary-Lateral Transfer
26. Salary-Promotion
27. State Employees Appeals Commission
28. Telework
29. Temporary Voluntary Unpaid Leave
30. Tobacco Testing
31. Workplace Harassment Prevention
Appendix B
INDOT Policies

*INDOT Human Resources*

The policies issued by the Indiana Department of Transportation (INDOT) are for the purpose of establishing procedures to guide consistent practices related to employment with the agency.
CONFIDENTIALITY REQUIREMENTS
Policy Department: Legal
Last Updated: November 1, 2011

PURPOSE
This policy is aimed at preventing an Indiana Department of Transportation (INDOT) employee from disclosing confidential state information or giving one contractor a competitive advantage over another.

SCOPE
This policy applies to all INDOT employees including: full-time, part-time, permanent or temporary.

STATEMENT OF POLICY
• An INDOT employee with access to confidential information on an INDOT project may not discuss the project before it has been let with any contractor; including but not limited to material suppliers, subcontractors and lessors; unless the discussion is done before the entire audience at a public meeting conducted in accordance with I.C. 5-14-1.5.
• If an INDOT employee receives a request for information that is public information on a project that INDOT has not let, he/she should refer the requester to the INDOT District Customer Service Director.
• The INDOT employee may not divulge at any time any information that would provide a competitive advantage to a contractor or otherwise influence a contractor’s bid.

REFERENCES
42 IAC 1-5-10 Benefiting from confidential information - A state officer, employee, or special state appointee shall not benefit from, or permit any other person to benefit from, information of a confidential nature except as permitted or required by law.
42 IAC 1-5-11 Divulging confidential information - A state officer, employee or special state appointee shall not divulge information of a confidential nature except as permitted by law.

LEGAL AUTHORITY
42 IAC 1-6-1 Other sources - Sec. 1. An appointing authority of an agency or a state officer may adopt policies, rules, or regulations concerning the subject matter of this rule provided that the policies, rules, or regulations are at least as strict as this rule. All such policies, rules, or regulations shall be filed with the commission, but failure to file does not affect the validity of such policies, rules, or regulations as applied to the agency’s or state officer’s employees or special state appointees. (Office of the Inspector General; 42 IAC 1-6-1; filed Dec 7, 2005, 2:45 p.m.: 29 IR 1211)

APPROVAL
Michael B. Cline, Commissioner
11/29/11

Date
CONFIDENTIALITY OF SOCIAL SECURITY NUMBERS
Policy Department: Legal
Last Updated: November 1, 2011

PURPOSE
To ensure that the employees understand the requirements for confidentiality and nondisclosure of Social Security numbers in accordance with IC 4-1-10, which took effect June of 2006. Under IC 4-1-10-8, any employee of a state agency who knowingly, intentionally, or recklessly discloses a social security number in violation of the statute commits a Class D felony.

SCOPE
This policy applies to all Indiana Department of Transportation (INDOT) employees.

AGENCY REQUIREMENT
Agencies that possess records containing an individual’s social security number must develop comprehensive procedures that ensure the security of those numbers. Disclosure of social security numbers by agency staff can be grounds for disciplinary actions up to, and including dismissal and criminal prosecution.

RESPONSIBILITY
INDOT Deputy Commissioners shall:
- Be responsible for identifying records in their respective areas that contain social security numbers.
- Approve the development and implementation of procedures concerning the handling of those records in a manner that will prevent the inadvertent disclosure of those social security numbers.
- Oversee and ensure the implementation of this policy.
- Identify and appoint staff within their respective areas that have access to social security numbers.
- Monitor compliance with this policy.
- Be responsible that all applicable staff have adequate training on the applicable procedures.

INDOT staff in possession or control of an individual’s social security number shall:
- Not disclose the social security number except to authorized employees as appointed by the Deputy Commissioner.
- Comply with all applicable procedures related to the individual social security number in their possession or control.

POLICY STATEMENT
Regarding Disclosure of a social security number:
- Documents in hardcopy (paper) form containing social security numbers shall be maintained in a secure, locked location except when they are in the physical possession of an authorized employee. Only those staff authorized by the Deputy Commissioners will be allowed to possess keys to these locations.
Employees shall immediately notify their supervisor, who will then notify their Deputy Commissioner and the Office of Chief Legal Counsel if a social security number is either potentially or actually disclosed in violation of the state law. For the purposes of this policy, disclosure of the last four (4) digits of an individual’s social security number is not a disclosure of the individual’s social security number.

Disclosure of a social security number by any employee in a non authorized manner many result in disciplinary action, possibly resulting in dismissal. In addition, such disclosure may lead to prosecution.

Department forms that request social security numbers:

- Each Deputy Commissioners shall ensure all forms originated by programs under his/her jurisdiction requiring social security numbers are absolutely required.
- Forms that contain requests for social security numbers must request the information in compliance with IC 4-1-8-2.

Data Storage:

- Employees with access to social security numbers shall take all necessary precautions when handling data containing individual social security numbers on any computer or other portable electronic storage devices or media.
- Social security numbers on all Department computers and databases shall be secure and accessible only by authorized employees.

Public Record Requests:

- A social security number shall not be disclosed except as required by law.
- Copies of documents that contain social security numbers that are requested for public review shall not be released to the public until all instances of the social security numbers are redacted (removed or permanently obscured) from the copy of record that is provided to the public.
- A social security number shall not be disclosed without appropriate supervisory approval.

Destruction of outdated files:

- Documents containing social security numbers (papers and/or electronic media) shall be shredded or otherwise permanently rendered unreadable in accordance with the approved record retention schedule unless they are subject to pending lawsuit or other matter which requires keeping the document intact.
- For electronic documents this refers to explicit deletion or storage on a device protected by a password-based security system.

APPROVAL

Michael B. Cline, Commissioner 11/29/11
CONFLICT OF INTEREST RESTRICTIONS
Policy Department: Legal
Last Updated: November 1, 2011

PURPOSE
This policy is aimed at reducing the possibility of any undue influence or conflict of interest involving an Indiana Department of Transportation (INDOT) employee making decisions on an INDOT job and a contractor whose work the employee is overseeing.

SCOPE
This policy applies to all INDOT employees including: full-time, part-time, permanent or temporary.

STATEMENT OF POLICY

• An INDOT employee may not contract for private work with any contractor associated with an active INDOT contract under his/her supervision.

• An INDOT employee may not procure a contractor or negotiate prices for private work for family members, including both immediate and non-immediate family members, with any contractor associated with an active INDOT contract under his/her supervision.

• If an INDOT employee becomes aware of any private work that he/she neither procured nor negotiated prices for between an immediate or non-immediate family member and a contractor associated with an INDOT project under his/her supervision, he/she should inform the Department’s ethics officer immediately.
  
  o The Department’s ethics officer shall disclose all such contracts to the State Ethics Commission as possible conflicts of interest.
  
  o If the private work is for the benefit of an immediate family member of the INDOT employee, INDOT shall assign the project to another employee unless the employee shows that the private work has been terminated. Immediate family is defined in 42 IAC 1-3-13 and is referenced below.
  
  o If the private work is for the benefit of a non-immediate family member of the INDOT employee, the Department’s ethics officer will evaluate whether the private work presents a realistic possibility for any undue influence or conflict of interest for the INDOT employee and advise INDOT to assign the contract to a different employee if such a possibility exists.

• An INDOT employee may not enter into or maintain a close social relationship with the employee of a contractor associated with an active INDOT contract under his/her supervision if that relationship would lead a reasonable person to believe that the INDOT employee’s judgment could be compromised. If an INDOT employee has such a relationship or plans to enter into one, he/she must notify his/her supervisor. The employee’s supervisor must assign the contract to another employee for supervision.
REFERENCES

IC 4-2-6-9 Conflict of economic interests
Sec. 9. (a) A state officer, an employee, or a special state appointee may not participate in any decision or vote if the state officer, employee, or special state appointee has knowledge that any of the following has a financial interest in the outcome of the matter:

1. The state officer, employee, or special state appointee.
2. A member of the immediate family of the state officer, employee, or special state appointee.
3. A business organization in which the state officer, employee, or special state appointee is serving as an officer, a director, a trustee, a partner, or an employee.
4. Any person or organization with whom the state officer, employee, or special state appointee is negotiating or has an arrangement concerning prospective employment.

(b) A state officer, an employee, or a special state appointee who identifies a potential conflict of interest shall notify the person’s appointing authority and seek an advisory opinion from the commission by filing a written description detailing the nature and circumstances of the particular matter and making full disclosure of any related financial interest in the matter. The commission shall:

1. With the approval of the appointing authority, assign the particular matter to another person and implement all necessary procedures to screen the state officer, employee, or special state appointee seeking an advisory opinion from involvement in the matter; or
2. Make a written determination that the interest is not so substantial that the commission considers it likely to affect the integrity of the services that the state expects from the state officer, employee, or special state appointee.

(c) A written determination under subsection (b)(2) constitutes conclusive proof that it is not a violation for the state officer, employee, or special state appointee who sought an advisory opinion under this section to participate in the particular matter. A written determination under subsection (b)(2) shall be filed with the appointing authority. (Formerly: Acts 1974, P.L.4, SEC.2.) As amended by P.L.9-1990, SEC.8; P.L.15-1992, SEC.5; P.L.22-1995, SEC.2; P.L.222-2005, SEC.7.

IC 4-2-6-5.5 Conflict of interest; advisory opinion by inspector general
Sec. 5.5. (a) A current state officer, employee, or special state appointee shall not knowingly:

1. Accept other employment involving compensation of substantial value if the responsibilities of that employment are inherently incompatible with the responsibilities of public office or require the individual’s recusal from matters so central or critical to the performance of the individual’s official duties that the individual’s ability to perform those duties would be materially impaired;
2. Accept employment or engage in business or professional activity that would require the individual to disclose confidential information that was gained in the course of state employment; or
3. Use or attempt to use the individual’s official position to secure unwarranted privileges or exemptions that are:
   A. Of substantial value; and
   B. Not properly available to similarly situated individuals outside state government.

(b) A written advisory opinion issued by the commission or the individual’s appointing authority or agency ethics officer granting approval of outside employment is conclusive proof that an individual is not in violation of subsection (a)(1) or (a)(2).

42 IAC 1-3-13 “Immediate family” defined
Sec. 13. “Immediate family” means a person’s:
1. Spouse;
2. Partner;
3. Housemate; or
4. Unemancipated dependent.
(Office of the Inspector General; 42 IAC 1-3-13; filed Dec 7, 2005, 2:45 p.m.: 29 IR 1207)
LEGAL AUTHORITY
42 IAC 1-6-1 Other sources
Sec. 1. An appointing authority of an agency or a state officer may adopt policies, rules, or regulations concerning the subject matter of this rule provided that the policies, rules, or regulations are at least as strict as this rule. All such policies, rules, or regulations shall be filed with the commission, but failure to file does not affect the validity of such policies, rules, or regulations as applied to the agency’s or state officer’s employees or special state appointees. (Office of the Inspector General; 42 IAC 1-6-1; filed Dec 7, 2005, 2:45 p.m.: 29 IR 1211)

APPROVAL

Michael B. Cline 11/29/11
Michael B. Cline, Commissioner Date
PURPOSE
To establish a uniform policy for employees of the Indiana Department of Transportation (INDOT) concerning contact and/or relationships with offenders under the jurisdiction of the Indiana Department of Correction.

SCOPE
This policy applies to all INDOT employees that either use offenders for work and/or share grounds with the Indiana Department of Correction facilities.

DEFINITIONS
Offender: Any person committed by a court to the care, custody, or control of the Indiana Department of Correction, including parolees and offenders housed in contractual facilities.

Employee: Any full-time or part-time employee, temporary or contractual, or volunteer worker with the Indiana Department of Transportation that either use offenders for work and/or share grounds with the Indiana Department of Correction facilities.

Family Member: Any person related by blood or marriage.

STATEMENT OF POLICY
No INDOT employee shall have any personal contact with an offender and/or family or close friends of an offender beyond that necessary for the proper supervision and treatment of the offender, without prior approval of the Head of the facility where the offender is housed or supervised. If any contact beyond that necessary for proper supervision and treatment is made, such contact shall be reported to the employee’s immediate supervisor by the next regular business day. The immediate supervisor shall report the contact to the respective INDOT District’s Human Resource Manager, or designee, within 24 hours so they can report the contact in writing to the Facility Head of the facility where the offender is housed or supervised immediately, but in no case shall such notification take longer than 24 hours.

Examples of inappropriate conduct include, but are not limited to:
1. Living with or providing lodging for an offender, unless the offender is a parent, step-parent, child, step-child or where the offender and INDOT employee were married prior to that person's employment with INDOT;
2. Marriage to an offender, unless the employee and offender were married prior to that person's employment with INDOT;
3. Employment of an offender for personal reasons (e.g. mowing lawn, home repairs, etc...);
4. Carrying or delivering messages to or from an offender;
5. Carrying or delivering anything to or from an offender which has not been officially authorized by the Facility Head of the facility where the offender is housed or supervised;
6. Social relationship of any type with the offender;
7. Visiting or corresponding with an offender, unless the offender is a family member and permission has been obtained from the employees District Commissioner and the Facility Head of the facility where the offender is housed;
8. Physical contact beyond that which is routinely required by specific job duties. (Sexual contact with an offender is criminal offense under IC 35-44-1-5)

Upon learning of the commitment to the Indiana Department of Correction of a friend or family member, INDOT employees must notify the District Commissioner, in writing, of such a relationship within five calendar days. New employees shall advise of the existence of such a relationship upon accepting employment with INDOT, or upon discovery if not known at the time of accepting employment. This notification shall include: the offender’s name, DOC # (if known), relationship, facility where the offender is housed or supervised, and whether the employee intends to maintain the relationship, including visiting or corresponding if the person is a family member.

APPROVAL

Michael B. Cline
Date

Michael B. Cline, Commissioner
11/29/11
PURPOSE
This policy serves as a supplement to the State Personnel Department’s standardized Drug and Alcohol Testing Policy defining drug and alcohol testing practices for the Indiana Department of Transportation (INDOT).

SCOPE
This policy applies to all INDOT employees for purposes of accident/unsafe practice, post-accident and reasonable suspicion testing and to current/prospective employees in a CDL or testing designated position (TDP) for purposes of pre-employment and random testing.

STATEMENT OF POLICY
INDOT will follow the State Personnel Department’s standardized Drug and Alcohol Testing Policy including responsibilities and procedures for all drug and alcohol testing. This policy defines the INDOT specific types of positions and circumstances under which our employees are subject to drug and alcohol testing.

Types of Testing
- **Pre-employment Testing** – applicants and employees who are offered employment in Testing Designated Positions (TDP) or positions requiring a Commercial Driver’s License (CDL) will be tested post-offer/pre-employment.

- **Random Testing** – Employees occupying positions requiring a CDL or designated as a TDP are subject to random testing.

- **Accident or Unsafe Practice Testing** – Employees involved in on-the-job accidents or who engage in unsafe on-duty or job-related activities that pose a danger to others or the overall operation of the agency will be subject to testing. Based on the circumstances of the accident or unsafe act, testing will be initiated when there is:
  1. Confirmation of an unsafe practice,
  2. Preventable damage to property,
  3. Careless operation of a vehicle,
  4. Preventable injury to persons, or
  5. A pattern of erratic incidents.

- **Post-Accident Testing** – All employees will be required to submit to alcohol and/or controlled substance testing if, in the course of performing their duties, the employee is:
  1. Involved in an accident resulting in the loss of human life; or,
  2. Receives a citation concerning an accident which requires either:
     a. Medical treatment away from the scene; or,
     b. A vehicle to be towed from the scene.

*Note: Employees with a CDL will be subject to a US DOT test.*
• **Reasonable Suspicion Testing** – Employees are required to take a drug and/or alcohol test(s) if there is reasonable suspicion that the employee is using or under the influence of alcohol and/or controlled substances without a prescription.

**Position Types**

• **Commercial Driver’s License (CDL)** – INDOT positions requiring a CDL as defined by the Possession of a CDL Policy are subject to all types of drug and alcohol testing.

• **Testing Designated Position (TDP)** – INDOT positions that require employees to engage in homeland security or emergency response activities and/or directly inspect products or services where the failure of such products or services may directly endanger the safety of the public. These positions are subject to all types of drug and alcohol testing including pre-employment and random. See Appendix A for list of positions designated as a TDP.

• **All other** – Positions not requiring a CDL or designated as a TDP are excluded from pre-employment and random testing, but are subject to all other types of testing.

**REFERENCES**

State Personnel Department’s standardized Drug and Alcohol Testing Policy
INDOT’s Possession of a CDL Policy

**APPROVAL**

Michael B. Cline, Commissioner  
11/29/11  
Date
APPENDIX A
INDOT TESTING DESIGNATED POSITIONS

1. Highway Maintenance Director
2. Sub-District Operations Manager
3. Bridge Tenders
4. Construction Director
5. Area Engineer
6. Project Engineer
7. Project Supervisor
8. Testing Engineer/Manager
9. Testing Lab Supervisor
10. Bridge Inspection Engineer
11. Assistant Bridge Inspection Engineer
12. Bridge Inspector
13. District Safety Director
14. District Assistant Safety Director
15. Signal Bench Technician
16. Signal Field Engineer, Senior
17. Signal Field Engineer
18. Incident Response Manager
EQUAL EMPLOYMENT OPPORTUNITY
Policy Department: Human Resources
Last Updated: November 1, 2011

Our policy is to provide equal employment opportunity to all people in all aspects of employer-employee relations without discrimination because of race, color, religion, sex, national origin, ancestry, age, disability, or veteran status. This policy statement applies to recruitment, selection, placement, training, promotion, transfer, rates of pay, and all other terms and conditions of employment. We will continue to comply with the spirit as well as the letter of applicable state and federal law.

Compliance with this policy statement is the individual responsibility of supervisors, managers, and other staff members whose duties related to employment, status, or tenure of employees. Further, all employees are expected to be aware of this policy statement.

In order to ensure compliance with this policy statement, I hereby designate the following duties related to affirmative action:

As the Agency’s Appointing Authority, I acknowledge that I have overall responsibility for Equal Employment Opportunity at the Indiana Department of Transportation.

Each manager and supervisor within the Agency/Facility is individually responsible for:

1. Ensuring equal opportunity for employees with regard to work assignments, training, transfers, advancements and other conditions or privileges of employment.
2. Including EEO as an operating objective.
3. Recognizing that his/her job performance is evaluated on the basis of his/her equal employment opportunity efforts and results, in addition to other job-related criteria.

For this Agency/Facility, Brandi Jittjumnongk, Recruitment Consultant, serves as the Affirmative Action/EEO Contact. Their responsibilities include, but are not limited to:

1. Monitoring Agency/Facility employment actions for compliance with this EEO policy statement.
2. Preparing the annual Affirmative Action Plan (or Policy Statement) and periodic AAP Monitoring Reports for the Agency/Facility.
3. Identifying problem areas, if any, and recommending potential solutions to management.
4. Ensuring that EEO policies are communicated to all levels within the Agency/Facility.

In coordination with the State Personnel Department, the individual responsible for human resource functions for the Indiana Department of Transportation will maintain the data necessary to monitor the affirmative action program, including, but not limited to information about applicant flow, hires, promotions, transfers, demotions, lay-offs, recalls, and terminations.
Should a complaint of discrimination or harassment on the basis of race, color, sex, religion, national origin, ancestry, age, disability, or any other statutorily protected class occur, such complaint will be promptly and thoroughly investigated and, if appropriate, remedial action will be taken including disciplinary actions up to and including dismissal, depending on findings of fact.

Questions or concerns regarding this policy statement, Equal Employment Opportunity, or Affirmative Action may be directed to Brandi Jittjumnongk, Recruitment Consultant, at 812-895-7305, bjittjumnongk@indot.in.gov, or 3650 S. US Hwy 41, Vincennes, IN 47591.

APPROVAL

Michael B. Cline

Michael B. Cline, Commissioner

11/29/11

Date
FLEXIBLE SCHEDULING OPTIONS POLICY
Policy Department: Human Resources
Last Updated: November 1, 2011

PURPOSE
To provide flexible scheduling options to Indiana Department of Transportation (INDOT) employees and managers statewide, consistent with sound business practices. This flexibility, when implemented within the spirit and intent of this policy, will help the agency to be more competitive in attracting and retaining diverse, talented, and skilled employees while ensuring operational needs are met and customer service is maximized.

SCOPE
This policy applies to all regular full-time INDOT employees.

STATEMENT OF POLICY
INDOT’s core business hours are 8:00 am to 4:30 pm Monday through Friday, when a majority of staff and management should be present. Where necessary, adequate coverage should be maintained between 7:30 am and 5:00 pm.

INDOT employees (who meet the eligibility requirements outlined in each section below) may request a flexible scheduling option, provided that adequate staff is scheduled to work in each area to meet operational needs during core business hours. Participation in any of INDOT’s flexible scheduling options is considered an employee privilege and not an employee right. INDOT reserves the right to disapprove, deny, or discontinue any individual employee’s participation in any flexible scheduling option. INDOT supervisors and employees are expected to implement all flexible scheduling options within the spirit and intent of this policy. Failure to do so may result in the discontinuation of an employee’s participation in a flexible scheduling option and/or disciplinary action for the employee and/or the supervisor.

SCHEDULING OPTIONS
Flex Time – Flex Time allows for established work schedules different from core business hours. Flex Time provides management flexibility in establishing work schedules to meet operational needs. Employees may request flex time upon hire.

- Employees may request start times between 7:00 am and 9:00 am
- Employees are permitted to a one-hour lunch that can be flexed to 30-minutes with supervisor approval. Employees are required to document at least a 30-minute lunch.
- The earliest permissible end-time is 3:30 pm. The latest permissible end-time is 5:30 pm
- Hours of work (including lunch period option) should be clearly communicated to all individuals having business with the employee.
- There is no form to complete to request flex time. However, changes in hours of work must be requested and approved by the immediate supervisor prior to the beginning of the payroll period when the change is to become effective.

Schedule Adjustments:
Supervisors may approve schedule adjustments for business need or occasionally for personal need upon employee request using the following guidelines.

- **Exempt staff** (classifications exempt from overtime payment) may adjust schedules within a payroll period.
- **Non-exempt staff** (classifications eligible for premium overtime payment) must be made within the week. Employees in non-exempt positions with something different than 37.50 hours in each week can only have a flex adjustment schedule of **35.00 hours in one week** and **40.00 hours in the other week**.
- See your HR or Payroll Office if you have any questions on your status of exempt or non-exempt.
- As with all related issues, managers are responsible for monitoring employee attendance (including lunch period options), ensuring attendance records are accurate, and promptly addressing any instances of time abuse.

**Alternative Work Schedule (AWS)** – AWS allows for established work schedules in which employees work seventy-five (75) hours over a period of **nine (9) days** [rather than ten (10) days] during a two-week payroll period.

**Eligibility Requirements** – Employees requesting to work an AWS:

- Must have completed at least six (6) months of continuous employment with INDOT and have a completed performance appraisal on file.
- Must not be on a work improvement plan.
- Must not have received an overall performance rating of “needs improvement” or “does not meet expectations” performance appraisal rating(s) during the preceding six (6) months.
- Must not have received any disciplinary action(s) during the preceding six (6) months.
- If an event should occur which causes a participating employee to no longer meet eligibility requirements, the participating employee’s AWS will be discontinued effective immediately after the end of the current two-week payroll period. The next payroll period, the employee will return to a regular 7.5 hour, ten-day work schedule.

**Procedural Guidance**

- Employees requesting AWS must complete an Alternative Work Schedule Request Form and submit it to their supervisor, intermediate supervisor and Human Resources for consideration.
- AWS requests will be reviewed on a quarterly basis. Completed requests (approved by the supervisor and intermediate supervisor) must be received by Human Resources no later than December 15th, March 15th, June 15th, and September 15th for quarters beginning in January, April, July, and October, respectively. AWS will begin the first payroll period entirely within the new quarter. Human Resources will notify the requesting employee when all necessary approvals have been obtained. Employees may not participate in AWS until notification of approval has been received.
- Employees choosing to discontinue AWS must notify their immediate supervisor in writing. A regular 7.5 hour, ten-day work schedule will begin with the next payroll period. Employees who discontinue AWS voluntarily or who no longer meet eligibility requirements must wait until a subsequent quarter to re-apply.
As a result of operational need, managers may return employees to a regular 7.5 hour, ten-day work schedule for a given payroll period. In this case, employees may continue their approved AWS schedule the following pay-period without re-applying or waiting until the subsequent quarter.

Changes in hours of work and “off” days must be approved in writing by the immediate supervisor, but do not need to go through the formal approval process outlined above. It is not necessary for employees approved for AWS to re-apply quarterly.

Employees participating in AWS must record and submit hours worked through Time and Labor Self-Service and/or have time submitted from the Work Management System (WMS) and pulled into Time and Labor.

**Supervisors must ensure that an adequate number of the unit’s staff members are scheduled to work during core business hours every day during affected payroll periods.**

Employee scheduling should be based on operational need. When necessary, supervisors should give preference for a selected schedule to the employee who has greater classification seniority (amount of time in current job classification).

AWS “off” days should generally occur on Mondays or Fridays but may be moved to another day within the week to suit operational need or occasionally upon employee request with supervisory pre-approval.

For payroll periods in which one (or more) State Holidays are observed, all employees will return to a regular 7.5 hour, ten-day work schedule.

Employees on an extended approved leave of absence (Family Medical Leave, Disability Etc.) should return to a regular 7.5 hour, ten-day work schedule the first full payroll period off work. In this case, employees may return to their approved AWS schedule the first full payroll period following their return to work without re-applying or waiting until the subsequent quarter.

When requesting the use of accrued leave, employees on AWS must consider the number of hours scheduled for a given day and ensure adequate leave is in balance to cover the absence. Employees on AWS accrue leave time in the same manner as all other employees. Unpaid leave time shall not be authorized.

**Telework** – Telework is engaging in principal activities which an individual is employed to perform from somewhere other than the employee’s established workstation. Telework may be considered as an option in very rare circumstances where appropriate and when in the best interests of INDOT. In most cases, telework would only be approved when the timeframe is clearly defined, short in duration, or for a very specific project. When a supervisor feels that telework is undoubtedly in the best interests of the agency, he or she must send a telework Request Memo through the management chain of command to the Deputy Commissioner of the respective area. The memo must clearly outline the proposed dates for the request, the job duties or project to be completed and the method for monitoring the employee’s work. The Deputy Commissioner, in conjunction with the agency Human Resources Director, will make a final determination if telework is appropriate and notify the requesting supervisor of the decision.

**APPROVAL**

Michael B. Cline, Commissioner

11/29/11

Date
PURPOSE
This policy establishes procedures for the Indiana Department of Transportation (INDOT) fuel program with the use of Wright Express fuel credit card.

SCOPE
This policy applies to all Indiana Department of Transportation employees that fuel equipment (including vehicles) at any fueling location.

DEFINITIONS
WEX Card - a magnetic capable card provided by Wright Express that is required for the purchase of fuel.

STATEMENT OF POLICY
- Employees must acknowledge, by signing the Fuel Card Agreement that they have read and understand the procedures for the fuel card use before they can be issued a card. A copy of the statement is kept on file in the employee’s personnel file and with the Fuel Coordinator.

- Cards are assigned to and kept by employees that operate state vehicles and/or equipment requiring fuel. Motor Pool vehicles will have a fuel card assigned to the vehicle and the driver will be required to sign for the fuel card when he/she picks up the keys to the vehicle, likewise the Motor Pool Receptionist will be required to check the card back in when the driver returns the vehicle, keys and card.

- The employee may only purchase fuel with the card. Employee will evaluate the lowest price for fuel without going out of their way to do so.

- Employees shall not allow other individuals to use their assigned fuel card or miscellaneous card.

- In order to make a purchase, the employee will do the following:
  1. Swipe the card through the electronic scanning device at the pump.
  2. Enter a pin, “personal identification number.” INDOT employees will enter a six digit commission (vehicle/equipment) number. In the event the commission is less than six digits than precede the commission number with a leading zero (Example: vehicle number 61234 is entered as 061234).
  3. Enter the odometer reading of the vehicle shown at the time of fueling.
  4. Fuel the equipment.
  5. Obtain a printed receipt either directly from the pump or the attendant if not available at the pump.
  6. Sign and print employee name, print the fuel type, commission number, odometer reading and hours (if available) as identified on the vehicle/equipment being fueled on the receipt.
  7. Confirm that the fuel type, gallons and odometer on the ticket are correct by comparing it directly to the pump display.
8. Submit the receipt to their assigned work station within seven (7) days of the purchase.

- A Fuel Reconciliation will be performed by the Fuel Coordinator or backup as described:
  1. A reconciliation of the bill will be completed after each fuel bill is received.
  2. All fuel receipts will be turned in within seven (7) days after purchasing fuel to the employee’s respective Division/District/Section, and/or Sub District.
  3. A report will be run to randomly select transactions to be reconciled.
  4. Each location will pull the transactions identified and match the data to the receipts.
  5. After the receipts have been reconciled, the receipts will be stapled to the report and filed at that location for further audits.
  6. Reconciliation will not exceed three (3) weeks from the date of the bill.
  7. If the District office reconciles the receipts for the subs, an employee with non-submitted receipts shall provide a signed statement instead of signing the reconciliation report.
  8. An employee who fails to have a receipt or purchases fuel with an octane rating higher than 87 more than (2) times will be subject to disciplinary action.

RESPONSIBILITIES
District and Central Office Fuel Coordinators and Backups:
- Issue cards
- Report lost or stolen cards
- Maintain miscellaneous cards
- Perform fuel reconciliation

Employee:
- Sign Fuel Card Agreement
- Abide by signed statement
- Keep the fuel card in a secure manner
- Immediately report a lost or stolen card to the District or Central Office Fuel Coordinator

REFERENCES
Finance Manual (Petty Cash) Chapter 10

APPROVAL

Michael B. Cline, Commissioner 11/8/11

Date
PURPOSE
This policy establishes standards and security measures for the issuance, use and transfer of keys for the Indiana Department of Transportation (INDOT).

SCOPE
This policy applies to all INDOT employees.

DEFINITIONS
Key - Any key assigned for use to secure a building, enclosed office, storage space, conference room, file space or cabinet, or any other space that can be secured by a lock and key.

Best Lock - Any key or core as manufactured by Best Access Systems. Best Lock Keys are the keys to offices, store rooms, conference rooms, entry ways, etc. They are the keys that have “BEST” and “DUPLICATION PROHIBITED” stamped on them.

STATEMENT OF POLICY
1. Central Office keys shall be requested through the INDOT Central Office Key Coordinator (Facilities Engineer) or his or her representative.
2. District keys shall be requested through the INDOT District Facilities Manager or his or her representative.
3. All keys and lock cores that secure space occupied or utilized by INDOT employees shall be “Best Lock” compatible. No other key or core system shall be utilized in spaces occupied or utilized by INDOT or spaces governed by IDOA.
4. Keys may not be loaned, transferred, duplicated, attempted to be duplicated, relinquished possession of or altered in any way.
5. No person may possess a key for which he or she has not completed and submitted a signed receipt.
6. Multiple keys to a given lock may be issued to those who have need.
7. No person may possess more than one key to any given lock.
8. If a key needs to be used by several people the key should be kept in a lock box and signed out every time it is used. The keys to the lock box should be limited to as few people as possible.
9. SubMaster Keys will open all locks within a given area. Only the INDOT Central Office Key Coordinator, the INDOT District Facilities Manager or persons of manager level or her representative above may possess a SubMaster Key.
10. A SubMaster Key must always be in personal custody. Employees possessing a SubMaster Key shall not possess any other Keys to locks that may be opened by the SubMaster Key.
11. Under no circumstance should the person with a SubMaster Key relinquish custody, even temporarily, of that key except to the INDOT Central Office Key Coordinator or the INDOT District Facilities Manager or his or her representative.
12.Anyone vacating an office or no longer needing access to a Best Locked door shall return the key to the INDOT Central Office Key Coordinator or the INDOT District Facilities Manager or his or her representative within 5 working days.
13. Under no circumstances should a key be passed from one employee to another.
14. The only acceptable transfer of access to a lock from one person to another is for the first person to return the key to the INDOT Central Office Key Coordinator or the District Facilities Manager or his or her representative after which a new key will be issued to the second person.
15. No keys will be issued to, loaned to or possessed by persons not employed by the State of Indiana including contractors and/or consultants.

RESPONSIBILITY

Employee: All employees are responsible for compliance with these procedures. Violation of this procedure may lead to loss of key privileges and/or disciplinary action.

Supervisor: All Supervisors shall be knowledgeable of employee’s access permissions. Supervisors shall have access to their employee’s areas.

Supervisors of Remote Facilities: All Supervisors that have direct subordinates located in remote facilities shall have access to aforementioned remote facility and subordinates office/work space.

APPROVAL

Michael B. Cline, Commissioner  
11/29/11  
Date
LACTATION SUPPORT IN THE WORKPLACE
Policy Department: Human Resources
Last Updated: November 1, 2011

PURPOSE
The purpose of this policy is to provide a supportive work environment that enables breastfeeding employees to express their milk during work hours.

SCOPE
This policy applies to all Indiana Department of Transportation employees.

STATEMENT OF POLICY
Breastfeeding employees who choose to continue providing their milk for their infants after returning to work shall receive:

- **Milk Expression Breaks**
  Breastfeeding employees are allowed to breastfeed or express milk during work hours using their normal breaks and meal times. For time that may be needed beyond the usual break times, employees may use personal leave or may make up the time as negotiated with their supervisors.

- **A Place to Express Milk**
  A private room (not a toilet stall or restroom) shall be available for employees to breastfeed or express milk. The room will be private and sanitary, located near a sink with running water, contain a refrigerator, and have an electrical outlet.

RESPONSIBILITY
- **Communication with Supervisors** - Employees who wish to express milk during the work period shall keep supervisors informed of their needs so that appropriate accommodations can be made to satisfy the needs of both the employee and the agency.

- **Maintenance of Lactation Support Room** - Breastfeeding employees are responsible for keeping the general lactation room clean for the next user.

- **Milk Storage** - Employees should label all milk expressed with their name and date collected so it is not inadvertently confused with another employee’s milk. Each employee is responsible for proper storage of her milk using the Lactation Support Room refrigerator or personal storage coolers.

- **Return to Work** - Upon return to work, employee should contact their local Human Resources Office (contact information can be found on INDOT’s Intranet [http://intranet.indot.state.in.us/](http://intranet.indot.state.in.us/)) to obtain lactation room location and additional instructions.

REFERENCES
IC 4-1-2-1; IC 5-10-6-2
SPD Lactation Support Policy

APPROVAL

Michael B. Cline, Commissioner
11/29/11

LIMITED PERSONAL USE OF STATE RESOURCES
PURPOSE
This policy establishes guidelines that permit very limited personal use of state resources and time by state officers and employees.

SCOPE
This policy applies to all Indiana Department of Transportation (INDOT) employees including: full-time, part-time, permanent or temporary.

STATEMENT OF POLICY
INDOT recognizes that its employees are responsible individuals who are the key to making government work for Indiana’s citizens. It further recognizes that employees and officers occasionally need to use state resources for emergencies and other occasional and infrequent personal activities that cannot be reasonably handled away from work. These activities might include (but not be limited to) communicating (by phone, e-mail, or fax machine unless such communication results in long distance or other special charges to the State) with schools, child-care providers, physicians, and others. These situations might also entail very limited use of copier or printer equipment. INDOT believes that accommodating occasional and limited use of state resources provides a public benefit of attracting and maintaining a diverse, well-rounded workforce. Employees should not be considered to have violated ethics rules by such limited, personal use of State resources.

LIMITATIONS
• The use must not interfere with the performance of public duties.
• The use must be infrequent, of short duration and unless not reasonably practical made on the employee’s personal time.
• The use must not be for the purpose of conducting business related to an outside commercial activity.
• A State officer or employee may not make private use of any State property that has been removed from State facilities or other official duty stations even if there is no cost to the state.
• This policy does not replace or lessen other restrictions, including rules that prohibit political activity in the work place.

REFERENCES
42 IAC 1-5-12 Use of state property – A state officer, employee or special state appointee shall not make use of state materials, funds, property, personnel, facilities or equipment for any purpose other than for official state business unless the use is expressly permitted by a general written agency, departmental or institutional policy or regulation.

APPROVAL
Michael B. Cline, Commissioner 11/29/11

OVERTIME/WORK SCHEDULE POLICY
The Indiana Department of Transportation’s (INDOT) major responsibility is building and/or maintaining Indiana’s roadways. The majority of work performed by INDOT is dependent upon favorable weather conditions. Work schedules are subject to change based on weather, contractor schedules, emergency callouts, special assignments, etc. Assuring taxpayers receive full value for all dollars spent is imperative and required in our collective role as INDOT employees.

PURPOSE
This policy establishes procedures for scheduling and approving overtime. INDOT’s intent is to offer a fair opportunity for voluntary overtime and a fair distribution of mandatory overtime to all overtime eligible employees.

It is the intent of INDOT to make every effort to provide reasonable advance notice of scheduled hours and changes; however work schedules will be managed to meet the operational needs of the agency.

SCOPE
This policy applies to all Indiana Department of Transportation employees.

DEFINITIONS
Base Rate of Pay: The employee’s established rate of biweekly compensation excluding any indirect compensation such as overtime, bonus, or similar allowance.

Regular Hourly Rate: An employee’s regular hourly rate shall be calculated by dividing his/her base biweekly salary by 75.

Exempt Employee: Employees who are not covered by the overtime pay provisions of the Fair Labor Standards Act (FLSA) and/or similar and applicable law relating to the payment of overtime.

Nonexempt Employee: Employees who are subject to the overtime pay provisions of the Fair Labor Standards Act (FLSA) and/or similar applicable state law relating to the payment of overtime.

Fair Labor Standards Act (FLSA): Regulates employee overtime status (exempt and nonexempt), child labor, minimum wage, overtime pay, record keeping, and other administrative concerns. The Fair Labor Standards Act (FLSA) is enforced by the Wage and Hour Division of the U.S. Department of Labor.

Full-Time Employees: Those employees who are regularly scheduled at least seventy-five (75.0) hours per biweekly pay period.

Part-Time Employees: Employees who are regularly scheduled less than seventy-five (75.0) hours per biweekly pay period.

Intermittent Employees: Individuals appointed to a position for a maximum of one hundred eighty (180) working days. Successive intermittent appointments of the same person shall not be made. However, an employee may be reappointed at a later date, if his/her total employment in an intermittent position does not exceed one hundred eighty (180) days in a twelve (12) month period.
Overtime Hours: Hours worked over and above a nonexempt employee’s regular, established work schedule.

Overtime Pay: Compensation for hours worked over and above a nonexempt employee’s regular, established schedule.

Straight-Time Overtime Pay: Compensation for hours worked by a nonexempt employee in excess of his/her regular, established work schedule but less than or equal to forty (40) hours in a calendar week.

Premium Overtime Pay: Compensation at a time and one-half rate for hours worked by a nonexempt employee in excess of forty (40) hours in a calendar week.

Workday: Any consecutive twenty-four (24) hour period beginning at midnight (12:00 p.m.) each calendar day.

District Driver: An employee assigned on an “on call” basis to the Subdistrict or Unit for Snow and Ice removal. However any employee with a Commercial Drivers License can be called upon at any time and location dependent on operational needs.

Unit Driver: An employee permanently assigned to a Unit for the winter. However any employee with a Commercial Drivers License can be called upon at any time and location dependent on operational needs.

STATEMENT OF POLICY

1. Premium overtime is paid for hours of work by nonexempt employees at the rate of one and a half (1.5) times the regular rate of pay for all hours worked in excess of forty (40) hours worked in the week and in accordance with the FLSA.

2. All time entered into WMS and PeopleSoft Time and Labor will be entered at regular time for the first thirty-seven and one half (37.5) hours in a pay week. Overtime hours can only be entered after thirty-seven and one half (37.5) hours have been entered into the systems. Employees on an AWS schedule are permitted to enter time at 35/40 hours per pay period.

3. Employees are prohibited from working overtime unless the additional hours are absolutely necessary and have been authorized.

4. Incurring overtime liability without proper authorization may subject the employee to disciplinary action. Failure to obtain required approvals and ensuring that employees are working only hours approved and being compensated appropriately may subject the manager to disciplinary action.

5. Exempt employees are not entitled to overtime payments. Requests for exceptions due to extraordinary circumstances must be processed through the appropriate Deputy Commissioner and INDOT Finance and requires advance approval from State Personnel and the Budget Agency.

6. Managers reserve the right to adjust work schedules of employees based upon operational needs of the agency. Management is required to notify the employees as soon as reasonably possible of any adjustment to their work schedule.
7. An employee is allowed to refuse one mandatory overtime assignment once every six (6) months without incurring a penalty.

STATEMENT OF POLICY – WINTER OPERATIONS

1. During twenty-four (24) hour snow and ice operations the Units/Subdistricts will operate on (12) twelve hour shifts dictated by operational need. Shift A is from noon to midnight and Shift B is from midnight to noon. In the event the operations indicate the need for twenty-four (24) hour operations have ceased the managers/supervisors may reduce the shift to less than twelve (12) hours.

2. District Drivers will choose their shift based on employees with the highest seniority, as of November 1 of the current calendar year. Unit assigned employees will choose their shift based on employees with the highest seniority, as of November 1 of the current calendar year. The Subdistrict Manager has the authority to modify shift assignments to meet operational needs.

3. A list of Drivers volunteering for Snow and Ice control activities will be compiled by the Highway Maintenance Director (or designee) and maintained in each Unit location. The list of volunteers, by shift, will be posted at all Units by the respective Foreman. The list will be posted and updated biweekly. Employees are only eligible to volunteer for the shift they are assigned. Employees desiring to work any available overtime may indicate their availability by signing their name to the volunteer list. Employees are encouraged to volunteer for overtime at the Unit location they are assigned. Once an employee signs his/her name to the voluntary overtime list for a particular biweekly period, he/she commits to working if called; therefore, any refusal to work when called will be treated as a refusal of a mandatory overtime assignment and limited to one refusal in each six (6) month period.

4. A current list of mandatory Drivers (employees) will be posted by shift at each Unit location. The Highway Maintenance Director (or designee) may determine overtime staffing needs are not sufficient with volunteer Drivers and reserves the right to call out employees from the mandatory list.

5. It is anticipated that overtime work will be distributed evenly among employees with first consideration being given to volunteers. Overtime will be distributed alphabetically according to an employees’ assigned shift. The supervisor conducting the callout will start at the top of the volunteer list on the first callout. Additional callouts will begin where the previous callout ended. When the end of the list is reached, supervisors will return to the beginning of the list. Exceptions can be made at the discretion of the manager/supervisor to ensure adequate snow removal experience, supervision and safety of the roadways. Managers and supervisors will be held accountable for proper administration of overtime.

6. Except in unusual and/or emergency circumstances, employees will neither be required nor allowed to work a shift more than sixteen (16) hours. After working a sixteen (16) hour shift, an employee must be off for a minimum of eight (8) hours prior to returning to work.

STATEMENT OF POLICY – TRAVEL TIME

1. Home to work: An employee who travels from home before his/her regular workday and returns to his home at the end of the workday is engaged in ordinary home to work travel which
is a normal incident of employment. This is true whether his/her work station is at a fixed location or at different job sites. Normal travel from home to work is not work time regardless of traveling in a state-owned vehicle or personal vehicle.

2. **Home to work in emergency situations:** A nonexempt employee who has gone home after completing his/her regular work and is subsequently called out to travel a substantial distance (defined as travel in excess of 30 miles of normal commute distance) to perform an emergency job shall have all time counted as working time.

3. **Home to work on special one-day assignment in another city:** A nonexempt employee who regularly works at a fixed location in one city and is given a special one (1) day assignment in another city may be compensated for travel time outside of the regular commute. This travel is not ordinary home-to-work travel occasioned merely by the fact of employment. For example, an employee who travels from Evansville to Indianapolis (about one hundred eighty (180) miles each way), for a one (1) day work assignment would receive compensation for the travel time minus the normal time it would have taken the employee to drive his/her normal commute.

4. **Travel that is all in the day’s work:** Time spent by an employee in travel as part of his/her principal activity, such as travel from job site to job site during the work day, must be counted as hours worked. When an employee is required to report at a meeting place to receive instructions, perform other work, pick up tools, etc., the travel from the designated place to the work place is part of the day’s work, and must be counted as hours worked regardless of custom or practice.

5. **Travel away from home community:** Travel that keeps a nonexempt employee away from home overnight is travel away from home. Travel away from home is clearly work time when it cuts across the employee’s workday. The employee is simply substituting travel or other duties. The time is not only hours worked on regular working days during normal working hours but also during the corresponding hours on nonworking days. Thus, if an employee regularly works 9:00 a.m. to 5:00 p.m. from Monday through Friday the travel time during these hours is work time on Saturday and Sunday as well as on other days. Regular meal period time is not counted. As an enforcement of this policy the U.S. Department of Labor will not consider as work that time spent in travel away from home outside of regular working hours as a passenger on any mode of transportation.

6. **Work performed while traveling:** Any work which a nonexempt employee is required to perform while traveling must be counted as hours worked. An employee who drives a truck, bus, automobile, boat or airplane, or an employee who is required to ride therein as an assistant or helper, is working while riding, except during bona fide meal periods or when he/she is permitted to sleep in adequate facilities furnished by the employer.

**RESPONSIBILITY**
Within a department, the Deputy Commissioner is responsible for consistent application of this policy and is authorized to recommend exceptions as provided for in this policy.
EXCEPTIONS
Deputy Commissioners should submit exception requests to INDOT’s Deputy Commissioner of Human Resources in advance of overtime being worked. However, if emergency conditions exist that threaten the security of the operations, assets, equipment or public safety, the Deputy Commissioner may permit overtime work and seek approval retroactively.

REFERENCES
31 IAC 1-9
Overtime Policy & Statement of Responsibilities and Procedures
Hours of Work & Work Schedules Policy & Statement of Responsibilities and Procedures
Fair Labor Standards Act and Regulations
Financial Management Circular 2010-02

APPROVAL
Michael B. Cline
11/29/11
Michael B. Cline, Commissioner
Date

POSSESSION OF A COMMERCIAL DRIVER’S LICENSE POLICY
Policy Department: Human Resources
Last Updated: November 1, 2011
PURPOSE
To establish a policy concerning current employees who are required to hold a Commercial Driver’s License (CDL) to perform their job duties and the consequences of becoming disqualified from holding an active CDL.

SCOPE
This policy applies to all Indiana Department of Transportation (INDOT) employees who are required to have a CDL to perform their job duties. (See listing of job classifications below.)

DEFINITIONS
Commercial Driver’s License: A federal requirement to operate a vehicle with a gross weight of 26,000 pounds or more.

Medically Substantiated Limitations: Physical or mental deficiencies which render an individual unable or unfit to perform their driving responsibilities, as determined by a medical physician, which may also prevent them from obtaining a CDL.

STATEMENT OF POLICY
Employees who are required to hold a Commercial Driver’s License for the performance of their job duties must maintain a current CDL and be able to meet all the physical and skill requirements necessary to operate a commercial vehicle in a safe manner. If an employee is hired without a CDL they have ninety (90) calendar days from the start of their employment to obtain a CDL.

All designated CDL positions are required to participate in snow and ice removal activities in some form. This includes but is not limited to: loader operators, stock room assistance, parts runners, radio operators, quality analysis, research, and INDOT snow removal.

Highway Technician Positions:
All Highway Technician classifications are required to obtain and maintain a CDL. Failure to obtain or maintain an active CDL will result in termination as having an active CDL is an essential function of the job. Employees who have completed their probationary period who become disqualified from holding an active CDL shall have sixty (60) calendar days from the notification of their disqualification to reinstate their CDL. If at the end of sixty (60) calendar days the employee has not had the CDL reinstated they will be terminated or receive consideration for placement in other INDOT positions for which they qualify, if such positions are available.

Other CDL Required Positions:
All other INDOT employees required by their employment to drive a commercial vehicle are required to obtain and maintain a CDL. Employees who have completed their probationary period who become disqualified from holding an active CDL shall have sixty (60) calendar days from the notification of their disqualification to reinstate their CDL. If at the end of sixty (60) calendar days the employee has not had the CDL reinstated they will be terminated or receive priority consideration for placement in other INDOT positions for which they qualify, if such positions are available. Employees who have completed their probationary period who become disqualified from holding an active CDL due to a valid medical reason, as documented by a qualified physician, shall be exempt from this policy.
All employees volunteering to perform duties necessitating a commercial driver’s license shall be required to maintain a current CDL and demonstrate the ability to safely operate INDOT CDL required vehicles and equipment.

**CDL/DOT Physicals:**
Employees requiring a physical for purposes of obtaining and/or maintaining their CDL must contact their Human Resources Department to schedule a DOT physical if they request INDOT to cover the cost of obtaining the physical. The employee will then be instructed as to which physician they will use for the examination. All procedure costs outside the scope of the standard CDL physical examination, necessary for obtaining the DOT physical certification, will not be covered by INDOT, and subsequently will be a cost incurred by the employee. If an employee chooses to use an alternate physician, not approved by INDOT, they will incur the total cost of the DOT physical. In addition, employees on a leave of absence requiring a CDL physical will be scheduled upon return to work, if necessary.

Employees must turn in a copy of the DOT physical to the Human Resources Department immediately after obtaining their certification. It is the employee’s responsibility to ensure the Department of Revenue receives a copy of all physicals needed to maintain a CDL.

**Classifications Required to Obtain and Maintain a CDL**

**District – Technical Services Positions:**
- Engineering Assistant 4 (1DB4) – Permits *
- Field Investigator 3 (3KB3) – Traffic *
- Engineering Technician Supervisor (8AB3) 3 *
- Traffic Center Technician 3 (3AC3)
- Highway Technician 1 (4MB1)
- Highway Technician 2 (4MB2)
- Electrician Technician 2 (4GA2)

**District – Capital Program Management:**
- Surveyor 4 & 5 * (1DS4/1DS5)
- Engineering Assistant 4 ** (1DB4)
- Engineering Assistant 1 (3AB1)

**District – Construction Positions:**
- Engineering Technician Supervisor 3 (8AB3) *
- Highway Technician 1 (4MB1)
- Highway Technician 2 (4MB2)

**District – Maintenance Positions:**
- Highway Technician Supervisor 3 (9MB3)
- Highway Technician 1 (4MB1)
- Highway Technician 2 (4MB2)
- Highway Technician 3 (4MB3)
- Highway Mechanic Supervisor 4 (9FA4)
- Equipment Mechanic 2 (4FA2)
- Equipment Mechanic 3 (4FA3)
- Sewage Disposal Foreman (4JA1)
- Maintenance Foreman 1 (4IC1)
- Maintenance Repairperson 2 (4IA2)
- Maintenance Repairperson 3 (4IA3)
- Electronic Technician 2 (4GA2)
- Electronic Technician Supervisor 4 (9GA4)

Central Office – Indianapolis Traffic Management Center Positions:
- Highway Incident Technician Supervisor 4 (9NB4)
- Highway Incident Technician Worker 2 (4NB2)

Central Office – Fleet Management Positions:
- Highway Mechanic Supervisor 4 * (9FA4)
- Equipment Mechanic 2 (4FA2)
- Equipment Mechanic 3 (4FA3)

Central Office – Borman Traffic Management Center Positions:
- Highway Incident Technician Supervisor 4 (9NB4)
- Highway Incident Technician Worker 2 (4NB2)
- Equipment Mechanic 2 (4FA2)

Central Office – Technology Deployment Positions:
- LAN Support Technician (1BS3)

Central Office – Logistical Support Center Positions:
- Truck Driver 3*** (4KA3)
- Machinist 2 (4FD2) - Fabricators

Central Office – Materials Management Positions:
- Maintenance Repairperson 2 (4IA2)
- Engineering Technician Supervisor (8AB3)
- Engineering Assistant 4 (1DB4)
- Engineering Assistant 1 (3AB1)

Central Office – Geotechnical Engineering Positions:
- Engineering Assistant 1 (Driller)*** (3AB1)
- Engineering Technician Supervisor (8AB3) - Lab
- Engineering Assistant 1 (3AB1) - Lab

Central Office – Land & Aerial Survey Office Positions:
- Surveyor 4 & 5 (1DS4/1DS5) - Land

Central Office – Bridge Inspection Positions:
- Engineering Technician Supervisor (8AB3)
- Engineering Assistant 1 (3AB1)

Central Office – Research and Development Positions:
- Engineering Assistant 4 (1DB4) - Tester
- Engineering Technician Supervisor 3 (8AB3)
* Position is eligible for “grandfathering” if incumbent held position prior to February 2, 2004.

** Two EA 4 positions in Real Estate are exempt (this does not include EA 4 positions in Surveying)

*** Failure to obtain or maintain an active CDL will result in termination as having an active CDL is an essential function of the job. Therefore, this position will follow the same statement of policy as Highway Technicians.

**SUSPENDED/REVOKED DRIVER’S LICENSE OR CDL**

Policy Department: Human Resources
PURPOSE
To establish a policy concerning current employees whose job requirements include maintaining a valid driver’s license or a CDL and have had their license suspended or revoked.

SCOPE
This policy applied to all Indiana Department of Transportation (INDOT) employees who are required to have a valid driver’s license or CDL to perform their job duties.

STATEMENT OF POLICY
INDOT employees, whose job requirements include maintaining a valid state driver’s license or a CDL and have their license suspended or revoked, may be dismissed from employment. However, employees who become disqualified from holding an active driver’s license or CDL shall have sixty (60) days from the notification of their disqualification to reinstate their license. If at the end of sixty (60) days the employee has not had the license reinstated they may be dismissed for failure to acquire the driver’s license or CDL within the sixty (60) day period.

Employees who are able to obtain a restricted license, “for work only” within sixty (60) days of official loss of license shall not be dismissed under the policy. Employees who have had their license suspended or revoked and do not inform their supervisor and continue their driving duties shall be subject to dismissal.

RESPONSIBILITY
Employees are responsible to notify their supervisor immediately of a suspended or revoked driver’s license or CDL. Upon learning that an employee has had his/her CDL or driver’s license revoked or suspended, the responsible supervisor shall immediately notify Human Resources and assign duties that do not involve vehicle operation.

It is the employee’s responsibility to provide all documentation and keep supervisor and Human Resources informed of driver’s license or CDL status.

APPROVAL

Michael B. Cline, Commissioner 11/29/11

WORKSPACE POLICY
Policy Department: Facilities Management
PURPOSE
This policy establishes work space standards in order to create a professional office environment for the Indiana Department of Transportation (INDOT).

SCOPE
This policy applies to all INDOT employees that have established work stations or enclosed offices.

STATEMENT OF POLICY
1. No personal refrigerators, microwaves, toaster, toaster ovens, coffee pots, hotplates, or any other device used for food preparation will be permitted in cubicles/workspace. Break room areas have been established for these items.
2. No personal electric heaters are permitted in the cubicle/work space unless given prior authorization by the Office of Facilities Management or District Facilities Manager.
3. No fans which have blades larger than 6 inches are permitted in the cubicle/work space.
4. Nothing shall be placed which obstructs light fixtures and/or air flow.
5. Any Central Office request for cubical/office modification or relocation shall be approved by the Office of Facilities Management, Employee’s Division Director and the Deputy Commissioner of Operations. Any District request for cubical/office modification or relocation shall be approved by the Facilities Manager, Employee’s Division Director and the District Deputy Commissioner.
6. Bicycles are to be parked outside at the bicycle racks or approved locations.
7. Nothing is to be placed on top of the cubicle bins and/or cubicle walls which would extend beyond the top of the cubicle wall.
8. No plants are permitted in the aisles or hung from the ceilings.
9. No fish, amphibians or any pets are permitted in the cubicles.
10. No personal items are to be placed in the aisles or upon file cabinets outside cubicles.
11. Spills must be cleaned immediately and large spills must be reported to Office of Facilities Management or District Facilities Manager.

APPROVAL

Michael B. Cline, Commissioner

Date

11/29/11
Appendix C
INDOT Guidelines

All INDOT Guidelines are available at INDOT Human Resources

The guidelines issued by the Indiana Department of Transportation (INDOT) are typically related to a program benefiting employees and provide instructions for reimbursement, application, or approval of funds.

1. Bonus Program Guidelines
2. Mobile Device Reimbursement Guidelines
3. Outerwear Reimbursement Guidelines
4. Employee Development Administration Guidelines