

CITY OF LITTLE ROCK
HUMAN RESOURCES DEPARTMENT



DISCIPLINARY ACTION APPEAL
HEARING PROCEDURAL MANUAL

CITY OF LITTLE ROCK
DISCIPLINARY ACTION APPEAL HEARING PROCEDURAL MANUAL

	<u>Page</u>
I. INTRODUCTION	3
II. APPEAL RIGHTS	4
III. HEARING TIMETABLE	4-5
IV. HEARING PROCEDURES	6-7
V. NOTIFICATION TO DEPARTMENT	7-8
VI. NOTIFICATION TO APPELLANT	8-9
VII. NOTIFICATION OF WITNESSES	9
VIII. THE HEARING	9-10
A. Rights of Parties	
B. Objections	
C. Evidence	
D. Private Communications	
E. Time Limit	
IX. FINDING AND RECOMMENDATION TO THE CITY MANAGER	11
 <u>ATTACHMENT</u>	
Disciplinary Action Appeal Hearing Request Form	A

The following sections of this manual have been developed as a guide for Representatives in the conduct of a Hearing and in the preparation of the report to the City Manager.

I. INTRODUCTION

A disciplinary action taken against an employee shall be for just cause. The City of Little Rock (The City) provides procedures to appeal disciplinary actions and to grieve alleged improper adverse actions to those employees in regular and limited service positions (RFTP, RPTP, LSPF, or LSPP) who have completed the post-hire and post-promotion probation. To ensure that employees are notified of their rights of appeal, a disciplinary action must be documented on an official City of Little Rock form.

Employees in temporary positions (TAPP) and employees who have not completed the post-hire probation do not have access to procedures to appeal disciplinary actions. Employees in post-promotion probation do not have access to procedures to appeal disciplinary actions less than termination of employment.

Disciplinary actions shall be administered without regard to an employee's Fair Labor Standards Act (FLSA) exemption status, except where noted in this section.

The purpose of the Hearing is to only address the items stated on the Disciplinary Action Form and to ascertain facts pertaining to the appealed disciplinary action. Evidence of alleged comparable disciplinary action taken against other employees, harassment allegations, or other matters that do not directly relate to the reason for the disciplinary action will not be addressed. At Disciplinary Action Appeal Hearings, the employee is entitled to be represented by a union steward, attorney, or other representative. Both parties may present witnesses and documentary evidence, and will be given an opportunity to present their case, an oral rebuttal, and to ask questions of witnesses. However, the Appeal Hearing is not a trial and rules of evidence normally observed in a court are not applicable. The Chief People Officer or designee shall be in charge of the entire Hearing procedure.

The Appellant, their representatives, and the Department's representatives (Representatives) are expected to be familiar with the Administrative Personnel Policy and Procedures Manual and, if applicable, the American Federation of State, County and Municipal Employees (AFSCME) Agreement before any Hearings are conducted. Both the Policy and Agreement can be retrieved at <https://www.littlerock.gov/for-job-seekers/human-resources/helpful-documents/>. Should Representatives require advice in the interpretation or application of this policy, they are encouraged to contact the Labor and Relations Manager or designee.

II. APPEAL RIGHTS

Regular and Limited Service employees (RFTP, RPTP, LSPF, and LSPP) who have completed their post-hire probation may appeal disciplinary actions. (See below). Promoted employees on probation do not have access to procedures to appeal disciplinary actions that are less than termination of employment.

Non-Uniform Non-Union Eligible employees who have completed the post-hire probation may appeal suspensions and terminations. Non-Uniform Non-Union Eligible employees cannot appeal an Oral Reprimand nor can they appeal a Written Reprimand but may choose to have a written rebuttal attached to the Written Reprimand that will be placed in his/her personnel file.

Non-Uniform Union Eligible employees who have completed the post-hire probation may appeal written reprimands and appeal the disciplinary action on the basis the action is untimely. Non-Uniform Union Eligible employees cannot appeal an Oral Reprimand. See the appeal process in the American Federation of State, County and Municipal Employees (AFSCME) Agreement.

Uniformed Employees - See the appeal process in Civil Service Commission Rules and Regulations on the Human Resources website under Helpful Documents.

III. HEARING TIMETABLE

Hearings will be conducted in a timely manner pursuant to the provisions contained in this Section. Representatives are expected to adhere to the following time limits, except in an emergency situation as outlined below (Section III-3).

Step 1: Eligible employees are required to submit a completed Disciplinary Action Appeal Request Form directly to the Labor and Employee Relations Division-Human Resources Department within ten (10) business days from receipt of the disciplinary action. The Disciplinary Action Appeal Request Form can be retrieved directly from the Labor and Employee Relations Division-Human Resources Department or from the City's website at www.littlerock.gov (On the website, Select "Human Resources" then "Helpful Documents" then "Forms for Employees"). *Please note that eligible employees are required to complete the City's Disciplinary Action Appeal Request Form and any other type of written or verbal request for a Disciplinary Action Appeal will not be accepted.*

Once the employee contacts the LER Division-Human Resources Department for an Appeal Form to file an Appeal, the Human Resources Department has the right to let the Department know if a request to file an Appeal has been made.

Step 2: Upon notice of Appeal, the Human Resources Department shall notify the Department where the employee works or worked. The Department will then have five (5) business days to provide the documentation it used to base its decision to

discipline to the employee and if applicable, a full witness list it intends to call at the Appeal Hearing. A partial witness list is unacceptable. The employee will be required to pick up the materials at the offices of the employee's Department Head and sign a receipt documenting that the materials were received from the Department. Notification to the employee of the availability of the materials will be made by telephone and email to the contact information provided to Human Resources by the employee. Notification will be deemed to have been made when at least three (3) attempts are made to reach the employee by telephone and email. The attempts should be made once each business day and documented appropriately. Failure to pick up the documents will not prevent or delay the Hearing from being scheduled.

Step 3: The Appellant must provide a full witness list and documentation to be presented at the Hearing to the Department at least five (5) business days from expiration of the five (5) day period referenced in step two (2). A partial witness list is unacceptable. If the witness list and documentation are not provided within the allotted timeframe, they will not be allowed during the Hearing.

Step 4: The Human Resources Department shall hold the Hearing after a minimum of ten (10) business days from receipt of the Disciplinary Action Appeal Hearing Request. The employee shall be notified of the final date, place and time of the Hearing via City email (if applicable), and U.S. Postal Mail with a Certified Mail Domestic Return Receipt. **Notification will be deemed to have been made upon receipt of the delivery confirmation through the U.S. Postal Service tracking system.** The Hearing will not be rescheduled unless there is a documented emergency.

- a. A documented emergency is defined as illness, death in family or other catastrophic, unforeseen event. A scheduling conflict is not considered a documented emergency.

Step 5: The inability to reach the employee to notify him/her of the Hearing date shall be deemed a waiver of the Appeal Hearing, unless good cause is shown why the employee failed to receive notice. This decision will be made by the Hearing Officer assigned to hear the Appeal.

Non-Uniform Union Eligible Employees

Step 6: Suspensions of ten (10) days or more or termination will be heard by a representative of the City Manager and representative from the AFSCME Union upon request of the appellant. Upon completion of the Hearing, if there is concurrence, a joint finding and recommendation will be submitted to the City Manager. If the two Hearing Officers are unable to agree, they shall submit separate findings and recommendations to the City Manager within ten (10) business days after the date of the Hearing. The City Manager will, within five (5) business days, review both recommendations and make a final decision. All parties will be notified in writing of that decision.

IV. HEARING PROCEDURES

1. The Department's representatives have the burden of proof during the Hearing and they will present their case first;
2. The Appellant will present his/her case next. If desired, the Department representative may submit rebuttal evidence. Rebuttal evidence may only address something that arose during an employee's presentation and is not to be a repeat of evidence already submitted;
3. Each side will have an opportunity to ask questions;
4. If witnesses are called, the other side will have an opportunity to question them also. All witnesses will be asked to step outside and wait to be called. The Hearing Officer shall direct the witnesses not to discuss the case among themselves.
5. Each party may give an oral rebuttal to any evidence presented.
6. The Department representatives may also testify but only two (2) representatives may also be witnesses.

All attendees, representatives, and witnesses must sign the record of attendance. When representatives from either side call a witness, they must have them to identify themselves before asking any questions.

The Appellant or the Appellant's representative(s) and the Department representatives must not interrupt or try to talk over someone while they are speaking. Each side will be given an equal opportunity to present their side and to ask questions. All parties are asked to abide by the protocols of the Hearing and to conduct themselves in a professional manner at all times.

If a representative becomes disruptive or speaks out of turn during the Hearing, the Hearing Officer will give a warning that if they continue to do so, the Hearing will be terminated and a final decision will be made based on the overall evidence presented thus far. If the employee prefers to proceed without a representative, that will be permitted. If the representative(s) at fault would like to submit a position statement with relevant evidence for the Hearing Officer to consider after terminating the Hearing, he/she will have 48 hours to submit the position statement to the Hearing Officer.

Only evidence pertaining to the items stated on the Disciplinary Action Form will be considered. The Hearing Officer will reject evidence and disallow witnesses he/she believes are not relevant to the disciplinary action in question. Representatives are not allowed to argue with the Hearing Officer. The Hearing Officer will allow the representatives to state their objection, if any, on the record. Once the Hearing Officer decides testimony or any evidence is not relevant and the representative notes an objection for the record, representatives must move on to submit relevant evidence or rest their case.

Representatives will only be allowed to call witnesses who have direct knowledge of the disciplinary action in question. Representatives will only be allowed to testify, to cross examine, and present written documentation that is directly related to the disciplinary action in question.

V. NOTIFICATION TO DEPARTMENT

The Department's representative will be advised of the date, time, and location where the disciplinary action Appeal Hearing will be held. In addition, the following procedures must be followed:

1. The Department's representative will be asked to bring a copy of his/her evidence to the Hearing for the Hearing Officer.
2. It is the Department Representative's responsibility to provide a full witness list and documentation to be presented at the Hearing to the Appellant within five (5) business days from the receipt of a Disciplinary Action Appeal Hearing Request notification. A partial witness list is unacceptable. Please note: witnesses must have direct knowledge of the incident which resulted in the action being appealed.
3. Once the Department has submitted its full witness list for the Hearing to the Appellant and receives a copy of the full witness list from the Appellant, it is the Department's responsibility to contact all current employees to be present for the Hearing. Former employees requested to be at the Hearing must be contacted by the party requesting their appearance. For example, if the Department wants a former employee to be a witness then it is the Department's responsibility to contact the witness. If the Appellant wants a former employee to be a witness then it is the responsibility of the Appellant or the Appellant's representative to contact the witness to be present.
4. Written statements, including statements from citizens, will be allowed if the witness is unavailable to testify.
5. All previous disciplinary documents must be provided.
6. The Department will need the Appellant's date of employment.
7. The Department can object to testimony not relevant to the case.
8. The Department will be allowed to cross examine the Appellants' witnesses and should be prepared to do so.
9. Comply with the Hearing procedures as set forth in the Disciplinary Action Appeal Procedural Manual.
10. No food will be allowed during the Hearing.

Only audio recording of the Hearing is permitted. If the Department's representative desires a copy of the recording of the Hearing, he/she will be responsible for the cost of a disc, thumb drive or other device for use in providing a copy of the recording of the Hearing. The Hearing will start on time and all participants are advised to be punctual. The Department's representative(s) are expected to be on time. Should the Department's representative be unable to attend the Hearing as scheduled, he/she must advise the Hearing Officer assigned to the case immediately.

VI. NOTIFICATION TO APPELLANT

The Appellant or Appellant's representative will be advised of the date, time, and location where the disciplinary action Appeal Hearing will be held. In addition, the following procedures must be followed:

1. The Appellant or Appellant's representative will be asked to bring a copy of his/her evidence to the Hearing for the Hearing Officer.
2. The Appellant will be required to pick up the materials at the offices of the Department head in which they are/were employed and sign a receipt documenting the material they received from the Department. The Department will be responsible for contacting the Appellant when the information is ready to be picked up. Notification will be deemed to have been made when at least three (3) attempts are made to reach the employee by telephone.
3. It is the Appellant's or Appellants Representative's responsibility to provide a full witness list and documentation to be presented at the Hearing to the Department within five (5) business days from the Department's five (5) business day deadline referenced in Section V, Step 2. A partial witness list is unacceptable.
4. Once the Appellant or Appellant's Representative has received the full witness list for the Hearing from the Department and the Appellant or Appellant's Representative has submitted a copy of their full witness list to the Department, it is the Appellant's responsibility to contact all witnesses who are not current employees of the City to be present for the Hearing. Please note: witnesses must have direct knowledge of the incident which resulted in the action being appealed.
5. Comply with the Hearing procedures as set forth in the Disciplinary Action Appeal Procedural Manual.
6. No food will be allowed during the Hearing.

Only audio recording of the Hearing is permitted. If the Appellant or Appellant's representative desires a copy of the recording of the Hearing, he/she will be responsible for the cost of a disc, thumb drive or other device for use in providing a copy of the recording of the Hearing. The Hearing will start on time and all participants are advised to be punctual. Should the Appellant be unable to attend the Hearing as scheduled, he/she must advise the Hearing Officer assigned to the

case immediately. The Hearing will not be rescheduled unless there is a documented emergency as set forth in Section III, 4a Hearing Timetable.

Appellants who are late (15 minutes or more), or who do not show, except for emergencies, are considered to have forfeited their Hearing rights.

VII. NOTIFICATION OF WITNESSES

1. It is the Department Representative's responsibility to provide a full witness list and documentation to be presented at the Hearing to the Appellant within five (5) business days from the receipt of a Disciplinary Action Appeal Hearing Request notification. **The Department representative will also provide a full witness list to the Labor & Employee Relations (LER) Division-Human Resources Department within five (5) business days from the receipt of a Disciplinary Action Appeal Hearing Request notification.**
2. It is the Appellant's or Appellants Representative's responsibility to provide a full witness list and documentation to be presented at the Hearing to the Department within five (5) business days from the Department's five (5) business day deadline referenced in Section V, Step 2. **The Appellant or Appellant's Representative will also provide a full witness list to the Labor & Employee Relations (LER) Division-Human Resources Department within five (5) business days from the Department's five (5) business day deadline referenced in Section V, Step 2.**

Please Note: The Human Resources Department is not responsible for contacting witnesses to be present at the Hearing.

VIII. THE HEARING

Typically, there will only be two representatives allowed for the Department and for the Appellant and/or Representative, unless the Appellant is represented by more than one attorney. In such cases, the Appellant or the Appellant's Representative must notify the Human Resources Department within ten (10) days from receipt of the disciplinary action that he/she intends to have more than one attorney and how many attorneys will be present at the Disciplinary Hearing. The Department will then be notified to ensure equal representation for the Appellant and the Department, if desired.

A. Rights of Parties

Each party may call and examine witnesses and cross-examine opposing witnesses.

B. Objections

The Hearing Officer rules on objections raised by either party. The purpose of the Hearing is to only address the items stated on the Disciplinary Action Form and to ascertain facts pertaining to the appealed disciplinary action.

All relevant information will be considered by the Hearing Officer and given the weight that it merits. Procedures for objections are set forth in Section IV-Protocols of the Hearing.

C. Evidence

Evidence shall be admitted if it is directly related to the disciplinary action in question.

Evidence is relevant when it has a tendency in reason to prove or disprove any disputed fact that is of consequence to the determination of the disciplinary action in question. Irrelevant and unduly repetitious evidence will not be allowed.

It is suggested that parties requesting evidence under the Freedom of Information Act (FOIA) to be used as evidence during the Hearing must do so as soon as possible prior to the Hearing. Only relevant evidence will be allowed by the Hearing Officer. The Hearing will not be rescheduled if parties have not obtained all relevant evidence prior to the Hearing.

Hearsay evidence is admissible in the Hearing. However, it will be used only for the purpose of supplementing or explaining direct evidence, and must not be considered sufficient, in itself, to support a finding.

New Evidence (evidence not previously disclosed by the Department or employee) may be introduced during the Hearing if:

1. It pertains to the existing charges; and
2. Upon discovery, the Appellant was informed as to the nature of the evidence.

If these conditions are met, the introduction of new evidence would not constitute a violation of the Appellant's rights in the due process.

D. Private Communications

A Hearing Officer cannot entertain private communications from either party. All matters relative to the Appeal must be presented in open Hearing with both parties present.

E. Time Limit

The Hearing will not exceed four (4) hours in duration. A continuance may be granted at the discretion of the Hearing Officer, if deemed necessary. Please note: A granted continuance may immediately continue beyond the four (4) hours, reconvene at a different time on the same day or be scheduled for a new date and time.

IX. FINDING AND RECOMMENDATION TO THE CITY MANAGER

The Hearing Officer's findings and written recommendations to the City Manager will be based upon a "preponderance of the evidence." Preponderance of the evidence means that, when weighed with evidence opposed to it, has more convincing force and the greater probability of truth. It may also be defined as more than 50% of the weight of the evidence presented.

The submission to the City Manager will include a summary of: the reason for discipline, the documentary evidence and oral testimony, findings and recommendations relating to all evidence presented.

The Human Resources Department will forward the written recommendation to the City Manager as soon as administratively feasible, who will make a final decision within five (5) business days.

The City Manager's decision may be to:

1. Uphold the infractions as stated on the Disciplinary Action Appeal form and either sustain or modify, either increase or decrease the level of disciplinary action;
2. Overturn the disciplinary action entirely, that could lead to harsher disciplinary action, up to, and including termination.
3. Overturn the disciplinary action and remand the action to the Department to evaluate possible infractions and disciplinary action. The Department should contact the Chief People Officer for steps to reissue the action.

CITY OF LITTLE ROCK

HUMAN RESOURCES – LABOR AND EMPLOYEE RELATIONS DIVISION

500 W. Markham - Suite B18 - Little Rock, Arkansas 72201-1428
(501) 371-4590 λ FAX (501) 244-5475
www.littlerock.gov

**DISCIPLINARY ACTION APPEAL HEARING REQUEST
FOR NON-UNIFORM EMPLOYEES**

To request a disciplinary action Appeal hearing, you must meet eligibility requirements and do so within ten (10) business days from receipt of the disciplinary action (City of Little Rock’s Personnel Policy and Procedure Manual, V-4.1). Please complete this form and submit it to the Human Resources Department.

I, _____, request a hearing to appeal the following disciplinary action:
(Employee Name)

Written Reprimand (AFSCME only) Suspension Termination Demotion

Date Disciplinary Action Was Received: _____ A copy of the disciplinary action is / is not attached. (circle one)

Employee's Mailing Address: _____

Employee's Telephone Number: _____

Employee's Email Address: _____

Employee's Signature

Date

(Completed by a Human Resources Representative)

Tentative Date for Hearing: _____ Tentative Location for Hearing: _____

NOTE TO EMPLOYEE REQUESTING APPEAL: You have the right to have a union steward, attorney, or other representative to represent you. If you plan to have a representative, you must provide the name, address and telephone number of your representative to the Human Resources Department within ten (10) business days from receipt of the disciplinary action. If you obtain representation after this timeframe, the hearing will not be rescheduled to accommodate his/her attendance. You have the right to review all material the Department used to base their decision to take this action against you and receive a list of witnesses to be called at the hearing. The Department will contact you when the information is ready to be picked up. The information can only be picked up by you. You will have to sign a statement designating receipt of materials.

I will be represented by the following individual: Union Representative Attorney Other: _____

Name Telephone Number

Address

Email Address

<p>HR Representative Only:</p> <p>Received By: _____</p> <p>Date & Time: _____</p>

I confirm that I have received a copy of the Disciplinary Action Appeal Hearing Procedural Manual.

Appellant’s Signature

Date