

CORPORATE POLICY

SUBJECT: Grievance Procedure

CATEGORY: Human Resources

ORIGINAL DATE: December 13, 1983

REVIEWED DATE: June 30, 2021

REVISION DATE: February 22, 2023

I. **POLICY:**

Lake County Health Department and Community Health Center (LCHD/CHC) encourages and promotes the prompt and equitable resolution of employee grievances so that a harmonious and productive work environment is maintained. A grievance is an opportunity for an employee to present their asserted basis in writing that a suspension, demotion, or termination is not warranted.

Filing an Appeal as a Licensed Independent Practitioner:

Licensed Independent Practitioners (LIP's) may appeal any adverse actions taken by the Peer Review Committee. Refer to the by submitting a written request to the Grievance committee of the Lake County Health Department and Community Health Center's Board of Health Peer Review policy for the definition of an LIP, and for the proper appeal steps as outlined in section III, paragraphs L thru T. Also refer to this policy, section III, paragraphs B thru E, within 30 days from receipt of peer review action. Procedures B, 4-12 should be followed (see Peer Review Policy for the procedure).

Grievances may be brought by any ~~at-will,~~ regular full-time, or regular part-time employee of ~~the~~ LCHD/CHC. The following individuals are not eligible to file ~~for~~ a grievance:

- Employees serving their original 12-month introductory period or an extension of that introductory period
- Flex or temporary employees
- Employees serving under a contractual basis
- Employees classified as at-will

Eligible employees may file a grievance in response to the following employment actions:

- Disciplinary suspensions without pay
- Demotions that result in a reduction in an employee's current salary (exempt employees) or current regular hourly rate of pay (non-exempt employees) with the following exceptions:
 - If, while serving an introductory period for a promotion, the employee is returned to the position held immediately prior to the promotion (if available), or to a position paying the same salary or regular hourly rate of pay as that prior position; or
 - If the demotion results from a reorganization, reduction in force, or other administrative changes ordered by the Executive Director.
- Termination of the grievant's employment. A non-introductory employee may file a grievance if the employee believes they have been discharged from employment

CORPORATE POLICY

without just cause, and if one of the following exceptions does not apply:

- i. The employee resigned or retired from their position;
- ii. The termination resulted from a reorganization, reduction in force, or other administrative change ordered by the Executive Director; or
- iii. The termination occurred after the employee failed to return to work upon the expiration of an approved leave of absence, or during a leave of absence where the employee was not promised re-employment at the end of such leave.

~~Filing an Appeal as a Licensed Independent Practitioner:~~

~~Licensed Independent Practitioners (LIP's) may appeal any adverse actions taken by the Peer Review Committee by submitting a written request to the Grievance committee of the Lake County Health Department and Community Health Center's Board of Health within 30 days from receipt of peer review action. Procedures B. 4-12 should be followed (see Peer Review Policy for the procedure).~~

II. SCOPE:

All ~~Lake County Health Department and Community Health Center~~ LCHD/CHC eligible employees.

III. Grievance Procedure: Formal Hearing

A. Employees who file a grievance must abide by the time limits contained in this policy. Grievances not filed or appealed within the designated time limits will be dismissed. When filing a grievance, the employee must state all facts and issues in dispute as the grievance will subsequently be limited to the facts and issues contained in Step I of the grievance procedure.

1. Step I - Director

- a. The employee shall submit a written statement to the program ~~area's~~ Director and a copy to Human Resources (HR) stating:
 - i. the issue(s) being grieved and all relevant supporting facts;
 - ii. that this grievance constitutes the first step of the grievance procedure;
 - iii. the desired outcome to resolve the grievance; and
 - iv. the date on which the grievance was submitted to the Director.
- b. All grievances must be submitted no later than seven (7) business days from the date the employee received notice of the employment action. The Director or their designee shall render a written response to the grievance within seven (7) business days after the grievance was presented. ~~If the grievance is filed by a Director who is classified as at-will, the first step in the grievance process will begin with a written statement to the Human Resources Director.~~

2. Step II - Human Resources Director

- a. If the grievance is not resolved to the employee's satisfaction in Step I, the employee may present it in writing to the HR Director within five (5) business days after receipt of the Step I response, or after the Step I response was due, whichever is earliest.
- b. The employee may not raise new issues at this step, and may only raise those issues presented in writing at Step I. The employee must attach the Step I grievance and the Director's Step I response, if one exists, with the

CORPORATE POLICY

Step II grievance. The employee's Step II grievance must state the desired outcome to resolve the grievance. Upon receipt, the HR Director shall date and initial the written grievance. The HR Director or their designee shall render a written response to the grievance within seven (7) business days after the grievance was received.

3. Step III - Executive Director
 - a. If the grievance is not resolved to the employee's satisfaction in Step II, the employee may present it in writing to the Executive Director within five (5) business days after receipt of the Step II response, or after the Step II response was due, whichever is earliest.
 - b. The employee may not raise new issues at this step, and may only raise those issues presented in writing at Step I. The employee must attach the Step I and Step II grievances and the Director's Step I and HR Director's Step II response, if they exist, with the Step III grievance. Upon receipt, the Executive Director shall date and initial the written grievance. Within seven (7) business days after the Step III grievance is received, the Executive Director or their designee may meet with the employee if the Executive Director or their designee believes that such a discussion would resolve the grievance. The Executive Director or their designee shall render a written response to the grievance within seven (7) business days after the grievance was received.
- B. A formal hearing before the Health Department Grievance Committee may be requested when the grievance steps detailed above have failed to resolve the grievance in a manner satisfactory to the employee. The purpose of the hearing will be to determine whether the employee was suspended, demoted or discharged without just cause.
 1. Any written request for a formal hearing shall be filed with the HR Director within five (5) business days after the conclusion of Step III. The employee must attach to the request copies of all written grievances submitted and all written responses received. The request must set forth the nature of the grievance, the facts on which it is based, the desired resolution the employee requested and the basis for appeal.
 2. A request for a formal hearing will be approved if the HR Director determines:
 - a. the employee has complied with the requirements of Steps I, II, and III;
 - b. the request for a formal hearing is timely and contains the information requested in section III (B)(1) above and;
 - c. the employee is raising the same grievance at the formal step that he or she presented at Steps I, II and III.
 3. If a request for a formal hearing is not approved, the HR Director will send written notice to the employee explaining the reasons for the denial.
 - a. If the employee attempts to raise a new facts and issues in the formal hearing step, any issues not raised in Steps I, II, and III will be stricken, and the grievance then may proceed to a formal step hearing. The HR Director has the discretion, to consolidate two separate grievances. at a single formal hearing.
 4. Upon receipt, the HR Director shall date and initial the written grievance and notify the Health Department Grievance Committee within ten (10) business days

CORPORATE POLICY

after the receipt of the request.

5. The Grievance Committee shall consist of three (3) members: two Board of Health members (one shall serve as Chair of the Grievance Committee), and one Director. The members of the committee and one alternate for each position shall be chosen by the Secretary of the Board of Health by random drawing from each group of eligible and willing Board members and Executive Team Directors. The Grievance Committee drawing should be held each time a request has been made for a formal hearing. For appeals from an LIP, there shall be at least one Board of Health Credentialing committee representative serving on the committee.
 6. The Board of Health Attorney will serve as legal representation for the Health Department.
 7. Either the HR Director or Executive Director (or their designee) will appear at the hearing on behalf of the agency.
 8. The Executive Director's Assistant shall attempt to schedule the hearing within thirty (30) business days of the Grievance Committee's receipt of a request for a formal hearing. Whenever possible, the hearing shall be scheduled during normal working hours.
 9. The HR Director will be responsible for notifying the employee at least ten (10) business days prior to the formal hearing with the Grievance Committee. The hearing notice will state:
 - a. The date, time, and place of the hearing;
 - b. The purpose of the hearing and a statement of the issues involved; and
 - c. The contact name and phone number for the employee to call if they have questions.
 10. Both sides will be given the opportunity to present evidence, to call witnesses, and to question witnesses of the other side. The parties and witnesses may also be questioned by the members of the Grievance Committee.
 11. The employee must inform the HR Director or designee within 3 business days prior to the hearing whether evidence will be presented, the names of any witnesses, and if legal representation will be present at the grievance hearing.
- C. Employee Procedures
1. The employee's presence at the hearing is required. If the employee fails to appear at the scheduled time, or if the employee appears at the scheduled time but states that they are unable to present their grievance at that time, the grievance will be considered to have been withdrawn and the matter will be dismissed with prejudice.
 2. The employee may withdraw the request for a hearing in writing at any time prior to the start of the hearing.
 3. A written request to reschedule the hearing for good cause must be submitted to the HR Director or their designee no later than two (2) full business days before the scheduled date of the hearing (example: if the hearing is scheduled for Friday, the request for an extension must be made by Tuesday at 5 p.m.). The two-day notice requirement may be waived by the HR Director or their designee if the HR Director finds the employee could not have provided notice sooner due to a bona fide emergency involving the employee. The inability to procure legal counsel shall not constitute an emergency. The employee may submit only one

CORPORATE POLICY

request to extend the hearing date. If a request for an extension request is denied, the employee must present the grievance on the original hearing date.

4. The employee may have representation, legal or otherwise, present at the hearing at their own expense. However, the employee's representative will not be afforded an opportunity to speak on the employee's behalf or to question witnesses at the grievance hearing. The employee will be provided an opportunity to caucus with his or her representative during approved breaks.
- D. Responsibilities of the Grievance Committee Chair
 1. The Chair shall be responsible for the conduct of the hearing. The quantity and quality of evidence required to support a decision on an issue should be sufficiently credible that a court, upon reviewing the decision, would conclude it is supported by a preponderance of the evidence.
 2. The Chair will ascertain that all three (3) Committee members are present and will begin the hearing by summarizing the record and issues and explaining the manner in which the hearing will be conducted, ensuring everyone involved understands the proceedings. This explanation will be adapted to the needs of the specific situation. The Chair determines the order of presentation at the hearing.
- E. Grievance Committee Procedures
 1. The Committee may, at their discretion, take testimony under oath, elect to tape record the proceedings, or have a court reporter present.
 2. The purpose of the hearing will be to determine, based upon the totality of the circumstances, whether:
 - a. the request for hearing was made on a timely basis and whether the applicable procedures were followed; and
 - b. the preponderance of the evidence supports or is averse to the position of the grievant.
 3. The Committee may attempt to negotiate a resolution of the issue at any time prior to the conclusion of the hearing.
 4. The Committee may continue the hearing, on its own motion, or on motion of any party, for any reasonable period if the Committee believes a continuance is warranted by the circumstances.
 5. Portions of the hearing within a statutory exception to the Open Meetings Act (OMA) (Ill Revised Statutes, Chapter 102, Section 42), may be closed to the public.
 6. The parties may present documentary evidence and the grievant may request to have relevant records or documents kept in the ordinary course of business produced at the hearing.
 7. The Committee may limit the number of times any witnesses may testify, limit repetitions or cumulative testimony, and set reasonable limits on the amount of time each witness may testify and be cross-examined.
 8. No power to issue subpoenas exists. LCHD/CHC employees may attend and give what information or evidence they have regarding the grievance when such testimony is relevant to the proceedings. Willfully giving false or misleading evidence may be grounds for discipline. All current LCHD/CHC employees who testify before the Committee shall have such time considered hours of work.
 9. There will be an opportunity for the Committee and the parties to question any

CORPORATE POLICY

witness.

10. On the day of the hearing, all parties involved will be expected to be ready to proceed at the hour set. Any failure to be prepared to proceed at the designated time may be deemed by the Committee to be an admission by the unprepared party that the party's case is without merit and that a decision should be rendered against that party.
11. The Committee will make the final decision to approve or disapprove the initial action against the employee. It may recommend reinstatement of an employee or may recommend other action to HR.
12. The recommendation of the Committee shall be based on a majority vote and shall be sent in writing to the parties within ten (10) business days after the hearing. The recommendation should be written in clear, simple, non-technical language and include the following information:
 - a. A list of the attendees at the hearing;
 - b. A clear and concise statement of the issues;
 - c. The findings of fact, based on the entire record as disclosed at the hearing.
 - d. The opinion and reasons for the recommendation; and
 - e. The conclusion based on the findings of fact and opinion, indicating the final judgment of the Committee on the issues involved and pronouncing the action recommended.

IV. REFERENCES:

Peer Review Policy

V. AUTHORS/REVIEWERS:

Designated Review Team, Corporate Policy and Procedure Committee, Executive Team, and Lake County Board of Health Personnel Committee.

VI. APPROVALS:

Lake County Board of Health President

Signature: _____ Date: _____

CORPORATE POLICY

SUBJECT: Grievance Procedure

CATEGORY: Human Resources

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I. **POLICY:**

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 - If the demotion results from a reorganization, reduction in force, or other administrative changes ordered by the Executive Director.
- Termination of the grievant's employment. A non-introductory employee may file a grievance if the employee believes they have been discharged from employment without just cause, and if one of the following exceptions does not apply:
 - i. The employee resigned or retired from their position;
 - ii. The termination resulted from a reorganization, reduction in force, or other administrative change ordered by the Executive Director; or

CORPORATE POLICY

- iii. The termination occurred after the employee failed to return to work upon the expiration of an approved leave of absence, or during a leave of absence where the employee was not promised re-employment at the end of such leave.

II. SCOPE:

All LCHD/CHC eligible employees.

III. Grievance Procedure: Formal Hearing

A. Employees who file a grievance must abide by the time limits contained in this policy. Grievances not filed or appealed within the designated time limits will be dismissed. When filing a grievance, the employee must state all facts and issues in dispute as the grievance will subsequently be limited to the facts and issues contained in Step I of the grievance procedure.

1. Step I - Director

- a. The employee shall submit a written statement to the program's Director and a copy to Human Resources (HR) stating:
 - i. the issue(s) being grieved and all relevant supporting facts;
 - ii. that this grievance constitutes the first step of the grievance procedure;
 - iii. the desired outcome to resolve the grievance; and
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- b. All grievances must be submitted no later than seven (7) business days from the date the employee received notice of the employment action. The Director or their designee shall render a written response to the grievance within seven (7) business days after the grievance was presented.

2. Step II - Human Resources Director

- a. If the grievance is not resolved to the employee's satisfaction in Step I, the employee may present it in writing to the HR Director within five (5) business days after receipt of the Step I response, or after the Step I response was due, whichever is earliest.
- b. The employee may not raise new issues at this step, and may only raise those issues presented in writing at Step I. The employee must attach the Step I grievance and the Director's Step I response, if one exists, with the Step II grievance. The employee's Step II grievance must state the desired outcome to resolve the grievance. Upon receipt, the HR Director shall date and initial the written grievance. The HR Director or their designee shall render a written response to the grievance within seven (7) business days after the grievance was received.

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- a. If the grievance is not resolved to the employee's satisfaction in Step II, the employee may present it in writing to the Executive Director within five (5) business days after receipt of the Step II response, or after the Step II response was due, whichever is earliest.
- b. The employee may not raise new issues at this step, and may only raise those issues presented in writing at Step I. The employee must attach the Step I and Step II grievances and the Director's Step I and HR Director's Step II response, if they exist, with the Step III grievance. Upon receipt, the Executive Director shall date and initial the written grievance. Within seven

CORPORATE POLICY

(7) business days after the Step III grievance is received, the Executive Director or their designee may meet with the employee if the Executive Director or their designee believes that such a discussion would resolve the grievance. The Executive Director or their designee shall render a written response to the grievance within seven (7) business days after the grievance was received.

- B. A formal hearing before the Health Department Grievance Committee may be requested when the grievance steps detailed above have failed to resolve the grievance in a manner satisfactory to the employee. The purpose of the hearing will be to determine whether the employee was suspended, demoted or discharged without just cause.
1. Any written request for a formal hearing shall be filed with the HR Director within five (5) business days after the conclusion of Step III. The employee must attach to the request copies of all written grievances submitted and all written responses received. The request must set forth the nature of the grievance, the facts on which it is based, the desired resolution the employee requested and the basis for appeal.
 2. A request for a formal hearing will be approved if the HR Director determines:
 - a. the employee has complied with the requirements of Steps I, II, and III;
 - b. the request for a formal hearing is timely and contains the information requested in section III (B)(1) above and;
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 3. If a request for a formal hearing is not approved, the HR Director will send written notice to the employee explaining the reasons for the denial.
 - a. If the employee attempts to raise a new facts and issues in the formal hearing step, any issues not raised in Steps I, II, and III will be stricken, and the grievance then may proceed to a formal step hearing. The HR Director has the discretion, to consolidate two separate grievances. at a single formal hearing.
 4. Upon receipt, the HR Director shall date and initial the written grievance and notify the Health Department Grievance Committee within ten (10) business days after the receipt of the request.
 5. The Grievance Committee shall consist of three (3) members: two Board of Health members (one shall serve as Chair of the Grievance Committee), and one Director. The members of the committee and one alternate for each position shall be chosen by the Secretary of the Board of Health by random drawing from each group of eligible and willing Board members and Executive Team Directors. The Grievance Committee drawing should be held each time a request has been made for a formal hearing. For appeals from an LIP, there shall be at least one Board of Health Credentialing committee representative serving on the committee.
 6. The Board of Health Attorney will serve as legal representation for the Health Department.
 7. Either the HR Director or Executive Director (or their designee) will appear at the hearing on behalf of the agency.
 8. The Executive Director's Assistant shall attempt to schedule the hearing within

CORPORATE POLICY

thirty (30) business days of the Grievance Committee's receipt of a request for a formal hearing. Whenever possible, the hearing shall be scheduled during normal working hours.

9. The HR Director will be responsible for notifying the employee at least ten (10) business days prior to the formal hearing with the Grievance Committee. The hearing notice will state:
 - a. The date, time, and place of the hearing;
 - b. The purpose of the hearing and a statement of the issues involved; and
 - c. The contact name and phone number for the employee to call if they have questions.
10. Both sides will be given the opportunity to present evidence, to call witnesses, and to question witnesses of the other side. The parties and witnesses may also be questioned by the members of the Grievance Committee.
11. The employee must inform the HR Director or designee within 3 business days prior to the hearing whether evidence will be presented, the names of any witnesses, and if legal representation will be present at the grievance hearing.

C. Employee Procedures

1. The employee's presence at the hearing is required. If the employee fails to appear at the scheduled time, or if the employee appears at the scheduled time but states that they are unable to present their grievance at that time, the grievance will be considered to have been withdrawn and the matter will be dismissed with prejudice.
2. The employee may withdraw the request for a hearing in writing at any time prior to the start of the hearing.
3. A written request to reschedule the hearing for good cause must be submitted to the HR Director or their designee no later than two (2) full business days before the scheduled date of the hearing (example: if the hearing is scheduled for Friday, the request for an extension must be made by Tuesday at 5 p.m.). The two-day notice requirement may be waived by the HR Director or their designee if the HR Director finds the employee could not have provided notice sooner due to a bona fide emergency involving the employee. The inability to procure legal counsel shall not constitute an emergency. The employee may submit only one request to extend the hearing date. If a request for an extension request is denied, the employee must present the grievance on the original hearing date.
4. The employee may have representation, legal or otherwise, present at the hearing at their own expense. However, the employee's representative will not be afforded an opportunity to speak on the employee's behalf or to question witnesses at the grievance hearing. The employee will be provided an opportunity to caucus with his or her representative during approved breaks.

D. Responsibilities of the Grievance Committee Chair

1. The Chair shall be responsible for the conduct of the hearing. The quantity and quality of evidence required to support a decision on an issue should be sufficiently credible that a court, upon reviewing the decision, would conclude it is supported by a preponderance of the evidence.
2. The Chair will ascertain that all three (3) Committee members are present and will begin the hearing by summarizing the record and issues and explaining the manner in which the hearing will be conducted, ensuring everyone involved

CORPORATE POLICY

understands the proceedings. This explanation will be adapted to the needs of the specific situation. The Chair determines the order of presentation at the hearing.

E. Grievance Committee Procedures

1. The Committee may, at their discretion, take testimony under oath, elect to tape record the proceedings, or have a court reporter present.
2. The purpose of the hearing will be to determine, based upon the totality of the circumstances, whether:
 - a. the request for hearing was made on a timely basis and whether the applicable procedures were followed; and
 - b. the preponderance of the evidence supports or is averse to the position of the grievant.
3. The Committee may attempt to negotiate a resolution of the issue at any time prior to the conclusion of the hearing.
4. The Committee may continue the hearing, on its own motion, or on motion of any party, for any reasonable period if the Committee believes a continuance is warranted by the circumstances.
5. Portions of the hearing within a statutory exception to the Open Meetings Act (OMA) (Ill Revised Statutes, Chapter 102, Section 42), may be closed to the public.
6. The parties may present documentary evidence and the grievant may request to have relevant records or documents kept in the ordinary course of business produced at the hearing.
7. The Committee may limit the number of times any witnesses may testify, limit repetitions or cumulative testimony, and set reasonable limits on the amount of time each witness may testify and be cross-examined.
8. No power to issue subpoenas exists. LCHD/CHC employees may attend and give what information or evidence they have regarding the grievance when such testimony is relevant to the proceedings. Willfully giving false or misleading evidence may be grounds for discipline. All current LCHD/CHC employees who testify before the Committee shall have such time considered hours of work.
9. There will be an opportunity for the Committee and the parties to question any witness.
10. On the day of the hearing, all parties involved will be expected to be ready to proceed at the hour set. Any failure to be prepared to proceed at the designated time may be deemed by the Committee to be an admission by the unprepared party that the party's case is without merit and that a decision should be rendered against that party.
11. The Committee will make the final decision to approve or disapprove the initial action against the employee. It may recommend reinstatement of an employee or may recommend other action to HR.
12. The recommendation of the Committee shall be based on a majority vote and shall be sent in writing to the parties within ten (10) business days after the hearing. The recommendation should be written in clear, simple, non-technical language and include the following information:
 - a. A list of the attendees at the hearing;
 - b. A clear and concise statement of the issues;

CORPORATE POLICY

- c. The findings of fact, based on the entire record as disclosed at the hearing.
- d. The opinion and reasons for the recommendation; and
- e. The conclusion based on the findings of fact and opinion, indicating the final judgment of the Committee on the issues involved and pronouncing the action recommended.

IV. REFERENCES:

Peer Review Policy

V. AUTHORS/REVIEWERS:

Designated Review Team, Corporate Policy and Procedure Committee, Executive Team, and Lake County Board of Health Personnel Committee.

VI. APPROVALS:

Lake County Board of Health President

Signature: _____ Date: _____