

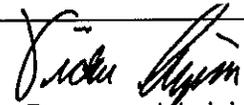
STATE OF CONNECTICUT
DEPARTMENT OF TRANSPORTATION

Memorandum

subject: Managing Prohibited Conduct and
Violence in the Workplace

date: October 3, 2013

to: All Concerned

from: Vicki Arpin 
Agency Human Resources Administrator

PERSONNEL MEMORANDUM NO. 80-16

This Personnel Memorandum supersedes DOT Personnel Memorandum 80-16A entitled "Employee Conduct and Behavior" dated April 10, 2008, Personnel Memorandum 80-16B entitled "Handling and Reporting Threatening and Violent Behavior" dated March 1, 200;5 and Personnel Memorandum No. 99-2, which contains the State of Connecticut, "Violence in the Workplace Prevention Policy" issued by Governor John G. Rowland dated August 13, 1999.

In accordance with former Governor John G. Rowland's Executive Order 16, the Connecticut Department of Transportation established a zero tolerance policy for weapons or dangerous instruments, prohibited conduct and violence in the workplace. As applicable to this policy the following definitions and conditions shall be applied:

Definitions:

Weapon: A weapon is defined as any firearm, including a BB gun, whether loaded or unloaded; any knife (excluding a small pen or pocket knife), including a switchblade or other knife having an automatic spring release device; a stiletto; any police baton or nightstick or any martial arts weapon or electronic defense weapon. This may also include items that resemble a weapon and used with the intent to threaten or cause violence.

Dangerous Instrument: A dangerous instrument is defined as any instrument, article or substance that, under the circumstances, is capable of causing death or serious physical injury. Department-issued tools, instruments, and substances are excluded provided the employee is assigned such items and makes proper and appropriate use of them.

Workplace: Any and all property owned or operated by the State of Connecticut and such private properties, locations, facilities, or means of transportation at or in which State business, including travel, is conducted.

Work Related: Any action, behavior or condition engaged in or created by an employee, either during working hours or after working hours, on State property or on private property, which either does or has the potential to adversely affect the workplace, other employees or the Department's ability to conduct business.

Conditions: As an employer, the Department of Transportation has the responsibility to provide a safe and secure work environment. Additionally, employees have the responsibility to treat each other, their supervisors and the general public with respect and courtesy at all times and to comply with all of the requirements outlined within this policy.

Prohibited Conduct: Abusive language or acts that harass or intimidate employees and may jeopardize the ability of the employee to perform the duties of their job.

Threatening/Violent Conduct: Violence, physical confrontations or threatening acts of any kind that may jeopardize the health and safety of our employees and/or their ability to perform their duties or that may jeopardize the public who are at the workplace or the public's ability to conduct business with the Department of Transportation.

In addition:

- Except as may be required as a condition of employment, no employee shall bring into any state workplace any weapon or dangerous instrument as defined herein.
- Except as may be required as a condition of employment, no employee may possess, transport, store, use or threaten to use any weapon or dangerous instrument while at the workplace and/or during the course of their duties for the Department of Transportation.
- No employee shall intentionally cause or threaten to cause death or physical injury to any individual in a state workplace as defined herein.
- Any employee who believes that there may be an immediate threat of physical violence toward them or others should contact Security at (860) 594-3333 for immediate action.
- **There is no reasonable expectation of privacy with respect to weapons or dangerous instruments in the workplace. Except as may be required as a condition of their employment, such weapons or dangerous instruments will be confiscated and turned over to the proper authorities.**

Employees who violate this policy will be subject to severe disciplinary actions including lengthy suspensions or dismissal and possible criminal prosecution.

Additionally, if not otherwise dismissed from State service, employees who engage in conduct prohibited by this policy may be subject to a "fitness for duty," or other evaluation, as a condition of returning to the workplace.

Actions – Employees' Responsibilities

Employees who have been subjected to or witnessed threats, violent acts and/or prohibited conduct, as defined above, must do the following:

IN A LIFE-THREATENING EMERGENCY DIAL 911 PRIOR TO NOTIFYING YOUR SUPERVISOR OR SECURITY. ANY EMPLOYEE WHO FEARS THAT THERE MAY BE AN IMMEDIATE THREAT OF PHYSICAL VIOLENCE TOWARD THEM OR OTHERS SHOULD CONTACT SECURITY AT (860) 594-3333 FOR SITUATIONS THAT REQUIRE IMMEDIATE ATTENTION.

- Remove yourself from potential danger or physical harm.
- Remain calm, and use good judgment. Avoid behaviors that may escalate or intensify the situation.
- Notify your supervisor, or the appropriate supervisory level, immediately so that control measures and administrative actions may be initiated. In the absence of any supervisor, notify Security immediately at the numbers listed on page 3.
- Retaliation against an employee for reporting alleged violations of this policy will also be considered a violation and will not be tolerated.
- All employees participating in the reporting of incidents, as either a complainant or a witness, are expected to provide honest and complete statements to initiate the investigation.

It is important to note that any employee who knowingly brings false charges will be subject to disciplinary action, including lengthy suspensions or dismissal. Likewise, Supervisor/Managers who fail to report and/or take action in incidents of prohibited conduct that have been brought to their attention will also be subject to disciplinary action, including lengthy suspensions or dismissal. Managers and Supervisors must report all incidents of alleged workplace violence to the Director of Security. Failure to do so will be considered a violation of this policy which will lead to disciplinary action pursuant to the Department's discipline policies.

Actions - Immediate Supervisors'/Managers' Responsibilities

When addressing prohibited conduct in which there is no threat of physical harm, the Supervisor and/or Manager evaluates the scope of the issue to determine if he/she will address the situation or confer with Human Resources to develop a Fact Finding action plan. Such evaluations should be documented to the Director of Security for review for repeated behavior or patterns.

When facing violent incidents in the workplace, Supervisors and Managers must determine a course of action **immediately**. Your actions or inactions will determine what happens next. The first 30 minutes of an incident are the most important. Following these steps will help:

Step 1 – Size-up the Situation

You must make a determination based upon the facts immediately available whether or not the situation is beyond your control.

- If you believe there is a life threatening condition, medical emergency or an immediate threat of physical violence, don't wait. **Dial 911**.
- If you are a direct participant in the incident, or if the threats are directed toward you, immediately remove yourself from the situation and seek assistance.
- If you believe that the situation is within your control, continue to Step 2.

Step 2 - Manage the Incident

- Defuse the immediate situation.
- Separate the individuals involved and, if possible, put them in separate offices, areas or locations which will help to defuse the situation.
- Contact your next level Supervisor and Security **immediately** to activate the Threat Assessment Team (TAT) and the TAT process, if appropriate.
- Document the incident based on initial information from the employee(s) and/or witnesses involved and the supervisory response to the situation as soon as possible.

Assist in the investigation, documentation and follow-up of the incident as required.

Actions - Security

- Security will determine if a Threat Assessment Team will be convened and document such activities as necessary.
- Security will assist the Supervisor/Manager in addressing the behavior(s).
- Security will facilitate a response action plan.

It is emphasized that the general guidelines described in this memorandum cannot replace the use of common sense and good judgment in dealing with what are often unique, emotionally charged situations.

For more information concerning the application or implementation of this policy, the State of Connecticut, Violence in the Workplace Prevention Policy or Executive Order No. 16, please feel free to contact any of the following offices:

DOT Security, Newington	(860) 594-3053
DOT Human Resources, Newington	(860) 594-3100
District 1 Human Resources, Rocky Hill	(860) 258-4551
District 2 Human Resources, Norwich	(860) 823-3235
District 3, Human Resources, New Haven	(203) 389-3050
District 4 Human Resources, Thomaston	(203) 591-3641
DOT Safety	(860) 594-3104

DOT Threat Assessment Team

CORE Group

The Core Group is identified as DOT employees who, due to their job function, are most routinely involved in the management of an incident. Team membership will vary in response to the specifics of each incident.

Security	Director	(860) 594-3053	Newington
Human Resources	Administrator	(860) 594-3100	Newington
Human Resources	Assistant Administrator	(860) 594-3119	Newington
Human Resources	Principal HR Specialist ...	(860) 594-3107	Newington
Human Resources	Principal HR Specialist ...	(860) 594-3116	Newington
D-1 Human Resources	Principal HR Specialist ...	(860) 258-4551	Rocky Hill
D-2 Human Resources	Principal HR Specialist ...	(860) 823-3235	Norwich
D-3 Human Resources	Principal HR Specialist ...	(203) 389-3050.....	New Haven
D-4 Human Resources	Principal HR Specialist ...	(203) 591-3641	Thomaston
Safety	Director	(860) 594-3104	Newington
Employee Assistance (EAP)...	The Lexington Group.....	(800) 676-4357	All locations
Bureau of Finance & Admin...	Bureau Chief	(860) 594-2201	Newington
Bureau of Eng. & Const.....	Bureau Chief	(860) 594-2701	Newington
Bureau of Highways.....	Bureau Chief	(860) 594-2630	Newington
Bureau of Policy & Planning...	Bureau Chief	(860) 594-2001	Newington
Bureau of Public Trans.....	Bureau Chief	(860) 594-2800	Newington

DOT Threat Assessment Team
CORE Group (continued)

Staff Maintenance.....	Administrator	(860) 594-2604.....	Newington
D-1 Maintenance	Director.....	(860) 258-4501	Rocky Hill
D-2 Maintenance	Director.....	(860) 823-3222	Norwich
D-3 Maintenance	Director.....	(203) 389-3020.....	New Haven
D-4 Maintenance	Director.....	(860) 585-2796	Thomaston
D-1 Construction.....	District Engineer.....	(860) 258-4601	Rocky Hill
D-2 Construction.....	District Engineer.....	(860) 823-3204	Norwich
D-3 Construction.....	District Engineer.....	(203) 389-3100.....	New Haven
D-4 Construction.....	District Engineer.....	(203) 591-3641	Thomaston

DOT Threat Assessment Team

Gatekeeper Group

Gatekeepers are identified as DOT employees who, due to their job function, may be the first contact in an incident. Team membership will vary in response to the specifics of each incident.

Security	Mike Nooks	(860) 594-3057	Newington
Security	John DiLuciano	(860) 594-3029	Newington
Security	Robert Bissell	(860) 594-3054	Newington
Security	Betty Unikewicz	(860)594-3042	Newington
Office of Commissioner ...	Angela Brault	(860) 594-3000	Newington
Human Resources	Jackie Ouellette	(860) 594-3107	Newington
Human Resources	Doreen Rossi	(860) 594-3116	Newington
Human Resources	Nancy Malinguaggio	(860) 594-3102	Newington
Human Resources	Sharon Walden	(860) 594-3120	Newington
Human Resources	Barbara Swenson	(860) 594-3101	Newington
Human Resources	Shavonne Sanders	(860) 594-3103	Newington
D-1 Human Resources	Diane Tyc	(860) 258-4550	Rocky Hill
D-2 Human Resources	Ann Januszewski	(860) 823-3235	Norwich
D-3 Human Resources	Michele Joyce	(203) 389-3050	New Haven
D-4 Human Resources	Jackie Ciampi	(203) 591-3641	Thomaston
Safety	Dave Shute	(860) 594-3099	Newington
Safety	Mike Van Ness	(860) 594-3099	Newington
Safety	Steve Sartirana	(860) 594-3118	Newington
Nurse	Patricia Keltonic	(860) 594-2060	Newington

RESPONSE PROCEDURES

Non-Emergency (Prohibited Conduct) Response Procedures

A non-emergency situation is defined as a situation where:

One person, through harassing or intimidating language or behavior, has induced apprehension in another person but there is no immediate danger of harm being inflicted.

Non-Emergency (threatening) Response Procedures

A threatening situation is defined as a situation where:

One person, through intimidating words or gestures has induced fear and apprehension of physical or other harm in another person but there is no immediate danger of such harm being inflicted.

Emergency Response Procedure

A situation is an emergency if:

- 1) an injury has occurred OR
- 2) there is an immediate threat of physical harm or injury

You should consider your personal safety first in all emergency situations. If possible, you should use the following response procedure:

Step 1

Notify HR or on-site Manager

Step 1

Notify Security or on-site Manager

Step 1

If a life threatening emergency or an immediate threat of physical violence
-Dial 911

Step 2

HR and Manager develop action plan

Step 2

Security meets with Threat Assessment Team (TAT) to assess options and develop an action plan

Step 2

First person on the scene calls for assistance – Security 594-3333

Step 3

HR and Manager initiate investigation or document actions

Step 3

Manager implements action plan

Step 3

First person on the scene takes steps to address the needs of the injured

Step 4

If appropriate, implement disciplinary action

Step 4

Security or Manager initiates investigation

Step 4

Security coordinates securing the affected areas, assessing damage and determining if police contact is required.

Step 5

If an emergency situation develops, follow steps for Emergency Response Procedure

Step 5

If appropriate, implement disciplinary action

Step 5

As appropriate, HR separates the parties involved until they can be interviewed and facilitates initiation of an investigation

Step 6

If an emergency situation develops, follow steps for Emergency Response Procedure

Step 6

HR seeks immediate intervention assistance from EAP provider

Help is available!

*The Department of Transportation
has a very effective
Employee Assistance Program.*

The EAP deals with a wide range of personal concerns:

- Family and Marriage Problems
- Drug and Alcohol Abuse
- Emotional Difficulties
- Depression/Anxiety
- Work Conflicts/Stress
- Anger Management/Violence Issues

The EAP is available to employees and immediate family members.

The EAP is voluntary, confidential and free of charge.

24 hours a day - 7 days a week

**Call The
Lexington
Group, Inc. our
EAP Provider:
1-800-676-HELP**



***The Department of Transportation
is committed to providing a safe
workplace environment for
all its employees.***

If you are confronted with a threatening or bullying situation:

- Remain calm and use your best judgment.
- Avoid behaviors that may escalate the situation.
- Remove yourself from potential harm.
- **REPORT** the incident.

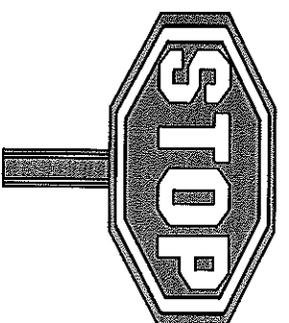
You may choose to speak to the alleged bully directly and tell them you object to their behavior and ask them to stop the behavior.

Report all incidents of bullying to management immediately. Your supervisor or manager will conduct a prompt, thorough inquiry of your concern, and take appropriate action. You may also report the incident to your Human Resources Designee or Affirmative Action Officer.

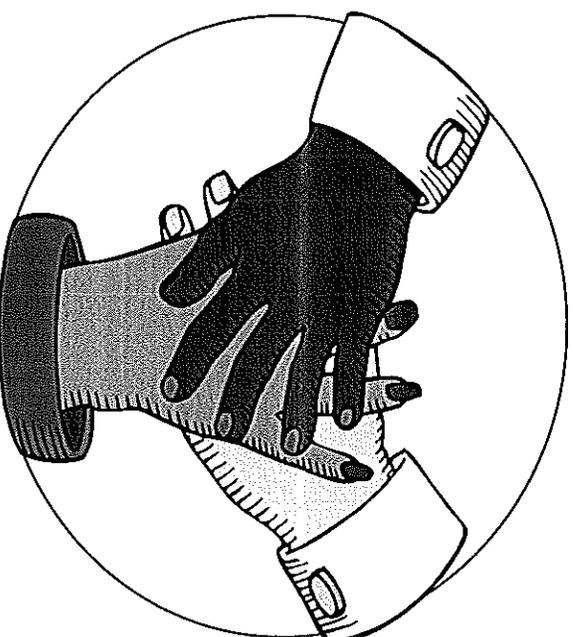
**KEEP A RECORD OF
WORKPLACE BULLYING**

Bullying can sometimes be difficult to define and to prove. It is, therefore, important to document events, recordings:

- Incidents, in as much detail as possible.
- The names and locations of people who may be witnesses.



**Can you identify
a bully or have you
been subjected to
bullying in the
workplace?**



**“Promote a Positive and
Safe Work Environment!”**

What is Workplace Bullying?

Workplace bullying is behavior *in the workplace* that intimidates, degrades or humiliates a worker, possibly in front of co-workers, clients or customers. Bullying can take place between:

- A worker and a manager (or supervisor).
- Co-workers.
- Workers and contractors.

Bullying behavior may appear to be part of the workplace, but if the behavior intimidates, degrades or humiliates you, then it is not appropriate and should be reported. There are bound to be occasional differences of opinion, conflicts and problems in working relations. However, when the behavior is **unreasonable**, workplace bullying may exist and should not be tolerated.

KINDS OF BULLYING BEHAVIOR:

Workplace bullying is a pattern of abuse of workers or co-workers which can range from the subtle to the more obvious and may include:

- Screaming, abusive language, demeaning comments.
- Belittling statements.
- Repeatedly or continuously undermining work performance by deliberately withholding work-related information or resources, or supplying incorrect information.
- Tampering with your personal effects or work equipment.
- Regularly being made the brunt of pranks/practical jokes.
- Inconsistent application of administrative procedures with the purpose of having an abusive effect.

Nothing in this brochure is intended to preclude a supervisor's ability to exercise their supervisory responsibilities to assign work that is operationally necessary and to monitor and address work performance issues.

WHAT CAN YOU DO?

Choose to behave in a way that promotes a positive work environment. Treat everyone in a professional manner with respect.

Your role in creating a Bully-Free Workplace is absolutely essential.

DOT EMERGENCY CONTACT NAME AND PHONE NUMBERS

If you experience violence in your workplace, notify your supervisor or the appropriate supervisory level.

Immediate supervisor:
Name _____ Phone # _____

Next level of supervision:
Name _____ Phone # _____

DOT Employee Assistance Program:
The Lexington Group

1-800-676-HELP

In a life threatening emergency,
Dial 911
Prior to notifying your supervisor

PERSONNEL MEMORANDUM NO. 80-16, Subject: "Managing Prohibited Conduct and Violence in the Workplace" was revised and reissued in September, 2013. Refer to this memorandum if you fear violence or witness the same. Incidents of threatening and/or violent behavior are to be addressed through the Department's administrative fact-finding process through the chain of command to the DOT Agency HR Administrator as soon as possible.

This policy requires that Supervisors/Managers must do the following:

- It is expected that some issues will be handled at the supervisory level. However, sometimes it will be necessary to contact the next level supervisor and human resources liaison immediately upon being notified of an incident.
- Assure employees that their concerns will be appropriately addressed.
- Document both the incident based on initial information from the employee(s) and/or witnesses involved and supervisory response to the situation.
- Arrange for post-incident training, counseling, or medical attention as the situation warrants.

It is recommended that supervisors continue to monitor the situation and follow-up with appropriate parties.

Questions and concerns may be referred to the following DOT Units:

Office of Human Resources

DOT Human Resources, Newington (860) 594-3100
 District 1 Human Resources, Rocky Hill (860) 258-4551
 District 2 Human Resources, Norwich (860) 823-3235
 District 3 Human Resources, New Haven (203) 389-3050
 District 4 Human Resources, Thomaston (203) 591-3643

DOT Security, Newington (860) 594-3333

DOT EAP/Counseling (800) 676-HELP
 (Employee Assistance Program)

Civil Rights Issues: (860) 594-2212
 Affirmative Action Office
 (Racial/Ethnic/Gender)

We wish to emphasize that the general guidelines described in this memorandum cannot replace the use of common sense and good judgment in dealing with what are often unique, emotionally charged situations.