



POLICY & PROCEDURE DOCUMENT

NUMBER: 4.8501

DIVISION: Finance and Administration

TITLE: Disciplinary Action

DATE: June 1, 1995

REVISED: January 27, 2020

Policy for: All Non-Faculty Employees

Authorized by: Executive Vice President for Strategy, Operations & Finance

I. Purpose and Scope

Employees are expected to abide by departmental and University policies and procedures. It is the responsibility of the supervisor/ department head to establish and communicate policies to employees, to administer policies fairly, and to investigate employee violations of policy when necessary before disciplinary action is taken. Disciplinary action will bear a reasonable relationship to the violation and will usually be progressive.

II. Policy

1. The University reserves the right to utilize forms of discipline less severe than termination in differing circumstances in order to correct employee performance problems or unacceptable behavior. Although one or more of the following actions may be taken, the University reserves the right to terminate employment at any time for any reason unless prohibited by an employment contract. The responsible administrator should contact the Department of Human Resources for guidance prior to initiation of formal disciplinary action/discharge procedures.

III. Procedure

A. Disciplinary Procedures

1. Verbal Reprimands

When it is determined by the supervisor/department head that corrective action is necessary and appropriate, a verbal reprimand may follow. The verbal reprimand should specify the nature of the problem(s) and action(s) necessary for correcting the employee's behavior or performance. The responsible supervisor issuing the verbal reprimand should maintain notes of the date and specific details of the discussion, and shall advise the employee that a written record is being maintained. The employee should also be informed that future similar behavior or performance may result in more severe disciplinary action.

2. Written Reprimands

- a. When it is determined that a written reprimand is appropriate, the responsible supervisor/department head will inform the employee in writing of the nature of the problem(s), action(s) necessary for correction, the time frame within which the problem should be corrected, and the consequences of failure to correct the problems(s). The letter should also provide notice that failure to correct the behavior or performance problems(s) may result in more serious disciplinary action.
- b. Copies of written reprimands should be maintained by the department/unit as well as provided to the Department of Human Resources.

3. Disciplinary Suspension

A disciplinary suspension without pay may be imposed upon an employee when the supervisor/department head determines that such action is warranted. The Department of Human Resources must be consulted prior to this formal action being initiated. The affected employee must be informed in writing of the reason for suspension, the inclusive dates of the suspension, and that failure to return to work on the first scheduled workday following the suspension will result in termination of employment.

4. Required Consultation with Office of General Counsel

The Office of General Counsel must be consulted prior to any disciplinary action being initiated which implicates or involves any of the following:

- Issuance of a plan of improvement (POI);
- suspension (including but not limited to suspension described in item 3);
- demotion in rank, title or seniority;
- reassignment, position or shift change;
- modification of work hours;
- modification of duties; and/or,
- a modification of pay or benefits.

5. Discharge

- a. Involuntary discharge occurs when an individual employee's employment is ended by the University. When it is determined that discharge procedures are appropriate, the responsible department head/director should contact the Director of Human Resources for assistance.
- b. A request to discharge must identify the behavior or performance problem(s) which have been unsuccessfully resolved, the measures taken by the supervisor/department head, and the recommended date of discharge. The request to discharge must be approved by the Director of Human Resources and

by University Counsel. Upon final approval, the terminated employee will be notified in writing of the effective date of discharge and referred to the Department of Human Resources for benefits counseling and outplacement. Payroll documents should be promptly processed to ensure that the discharged employee receives all wages due on the next regularly scheduled payday.

IV. Exclusions

V. Related Policies

See also:

VI. Reason for Revision: To insure compliance with best practices risk management protocol.

Appendices: