

University Enterprises, Inc. Policies and Procedures		Policy No. 635
Section:	Human Resources	
Policy:	Employee Discipline	
Revised Date:	December 11, 1998	

Employee Discipline

I. PURPOSE

To discuss disciplinary action guidelines that supervisors may choose to use to correct and/or document unsatisfactory job performance or employee misconduct.

II. SCOPE

This policy applies to all University Enterprises, Inc. (UEI) departments, supervisors and employees.

III. POLICY

University Enterprises, Inc. has standards of employee conduct designed to support and promote effective operations in the best interest of UEI (see Policy No. 605). All employees serve at the will of UEI and may be disciplined or discharged for any reason UEI deems sufficient.

It is important to note that this policy is exercised at the complete discretion of UEI and does not alter the at-will nature of employees or UEI.

IV. GUIDELINES

University Enterprises, Inc. seeks to affect employee conduct, using progressive employee discipline where appropriate. University Enterprises, Inc. retains discretion to determine what constitutes proper disciplinary action and procedure in each individual situation. These guidelines do not grant any employee a specific guarantee that any particular procedure will be used or any particular disciplinary action taken. What UEI finds to be appropriate disciplinary action will be determined on a case-by-case basis.

Major types of disciplinary action include the following:

- A. **Verbal Warning:** The employee may be counseled or issued a verbal warning. If the situation does not improve within a reasonable period of time (immediately to six weeks depending on the seriousness of the issue), the supervisor may repeat the measure or take other disciplinary action. The supervisor should keep a written record of the verbal warning including a brief description of the performance problem, the date and time of the discussion, and any other pertinent information.
- B. **Written Warning:** The supervisor may issue the employee a written disciplinary warning after consultation with the department director and the Director, Human Resources or designee. If the situation does not improve within a reasonable length of time (immediately to six weeks depending on the seriousness of the issue), the supervisor may repeat the measure or take other disciplinary action.

The written disciplinary warning should be prepared before the supervisor conducts a disciplinary interview with the employee. After the written disciplinary warning is discussed with the employee, the employee should be asked to sign it acknowledging receipt of the warning. If the employee refuses to sign, a witness should sign the warning and indicate that the employee refused to sign.

Copies of the warning may then be distributed to the employee, his or her supervisor, and the employee's personnel file.

University Enterprises, Inc. may provide the employee an opportunity to respond to the disciplinary warning in writing and may decide to include the written response in the employee's personnel file. University Enterprises, Inc. retains discretion to exclude any material from the employee's personnel file.

- C. Dismissal: In some situations, employee dismissal may be the appropriate course of action. Employees dismissal for disciplinary reasons requires the approval by the department director and the Director, Human Resources or designee. This approval must be obtained prior to the dismissal of the employee. In addition, Executive Director approval is required for the dismissal of a regular employee.
- D. Other Disciplinary Procedures: In addition to those disciplinary actions above, supervisors may, after consultation with the department director and the Director, Human Resources, and with approval of the Executive Director, implement any of the following actions:
 - 1. Administrative Leave: Should events cause a supervisor to believe immediate action is appropriate, e.g. when UEI intends to conduct an investigation, and/or employee dismissal appears possible, the supervisor (after consulting with the department director and the Director, Human Resources or designee) may immediately place the employee on administrative leave with pay.
 - 2. Suspension: It may be deemed appropriate and in the interest of UEI to suspend an employee for one or more days without pay as a step in the disciplinary process. Suspension may serve as the final step prior to dismissal.
 - 3. Documentation: Documentation of disciplinary action should become part of the employee's personnel file.

V. GUIDANCE FOR SUPERVISORS

Supervisors are encouraged to take appropriate disciplinary action in situations where it is warranted. The following suggestions may provide help in determining when and how to discipline employees:

- A. Supervisors should make constructive efforts to help employees understand and comply with high standards of conduct and job performance;
- B. Supervisors should provide employees with feedback and intervene early to correct employee shortcomings or negative behavior;
- C. Supervisors should try to give employees sufficient notice of the consequences (i.e. dismissal) of continued or substantive violation of employee standards of conduct or unsatisfactory job performance; and
- D. Supervisors should maintain complete and accurate written documentation of all disciplinary warnings, corrective measures, employee-supervisor discussions, and subsequent employee behavior outcomes.

VI. RELATED POLICIES

- Policy No. 040 Personnel Records and Privacy
- Policy No. 605 Standards of Conduct
- Policy No. 805 Employee Separation