

Facilities Management Operating Policies and Procedures Manual

Effective Date: 01/05/09
Policy Number: 07-050-002R2
Section: Facilities and Service
Subject: Progressive Discipline Policy

Purpose:

Provide staff with a clear understanding of the Progressive Discipline Policy.

General Policies:

Rules of personal conduct for employees are intended to promote safe, orderly and efficient operations of the university. The staff handbook establishes general rules to serve as guidelines for individual conduct, performance, and responsibilities.

Employees and supervisors should strive to solve situations without formal disciplinary actions if possible. Supervisors should strive to coach and mentor employees with clear directions regarding how to correct or overcome deficiencies. In most situations, the problem will first be brought to the employee's attention with a counseling session. This initial counseling is not considered part of the formal disciplinary system. During counseling, the supervisor should make sure the employee is aware of the problem and impress upon the employee the importance and necessity of correcting the problem. Such directions should be documented by a letter of direction. A letter of direction should include a date and written record of counseling with clear directions regarding how to correct or overcome deficiencies. Employees should ask questions if unclear as to supervisors expectations.

Most employees will correct the problem through such counseling and coaching sessions. If the problem continues, then progressive discipline actions will be initiated. The principle of "progressive" discipline involves informing the employee of the problem and the need to correct it, and then using increasingly stronger disciplinary measures if the employee fails to correct the problem.

As a general expectation, behavioral and performance deficiencies are to be addressed with disciplinary action in the following progressive sequence:

1. Verbal Counseling at the first occurrence

All disciplinary actions are to be preceded by a fact finding process sufficiently thorough so as to confirm the actual behavior that occurred by whom, when, where, etc. Such fact finding shall always include an opportunity for the employee to refute information or explain mitigating circumstances that led to behavior. Copies of all pertinent documentation (i.e. prior directives, current, fact finding as well as supervisor's personnel file notes) along with the University Standard Employee Counseling Form are to be submitted to the Department Personnel Assistant when a verbal warning is given.

2. Written warning at second occurrence

All fact finding and disciplinary actions are to be thoroughly documented and submitted with the Employee Counseling Form as noted above.

3. Suspension without pay at the third occurrence

Fact finding and documentation shall occur as noted above. All disciplinary actions involving a suspension or dismissal are to be approved by the Assistant Vice Chancellor for Facilities Management and FM Human Resource Representative based upon review of the pertinent documentation and consultation with appropriate management staff prior to final decision.

4. Dismissal at the fourth occurrence

Same process noted in #3 above. In addition, the Vice Chancellor for Finance & Administration is to be notified prior to any dismissal.

Mitigating circumstances on a case review may allow for deviation from the above sequence. Discharge may result from an accumulation of minor infractions as well as a single serious infraction. The progressive discipline actions outlined above may apply to different types of deficiencies in a sequence. There need not be multiple occurrences of the same type of behavior.

With incidents of an extreme nature, the Personnel Assistant, Director of QuIP, AVC for Facilities Management, and/or the FM Human Resources Representative should be notified immediately and consulted as to the appropriate fact finding and disciplinary action to be taken. In any and all situations where imminent danger to persons or property exists in the opinion of the immediate supervisor or other management staff in a line of authority, the supervisor shall take appropriate steps to secure the persons and/or property involved and place the employee on suspension with pay pending fact finding and review.

In all cases the supervisor has primary discretionary responsibility to assess behaviors that are observed or reported as real facts, and to determine whether direction is needed or if the progressive disciplinary sequence outlined above should be implemented.

All employees have the right to have a co-worker present as a witness in any disciplinary counseling or meeting at the request of the employee. The role of such a

witness shall primarily be to observe and not to represent or defend the employee. However, the witness may participate in the discussion if invited by the employee or the supervisor to do so. The presence of a witness is solely at the discretion of the employee. No member of the AVC Advisory Board may serve as a witness while at the same time serving as a member of the Advisory Board. No employee will be compelled to serve as a witness if asked.

A representative from the ASU Human Resources Office may also be present at the request of either the supervisor or the employee.