

**Proposed Re-statement of Staff Disciplinary Policy  
Summary of Primary Changes**

1. Define purpose of disciplinary policy to promote a culture where staff employees and supervisors may engage in constructive conversations regarding job performance or work-related conduct with a shared objective of improving unsatisfactory job performance or correcting unacceptable work-related behaviors.
2. Distinguish between Job Performance and Personal Conduct
  - a. Job performance is generally understood to include issues related to the quantity or quality of work produced.
  - b. Personal conduct is generally understood to include work-related behaviors that are disruptive to the work environment or adverse to the University's interests.
3. Establish commitment to Progressive Discipline.
  - a. Clarification of Expectations
  - b. Written Warning
  - c. Final Written Warning or Suspension without Pay
  - d. Reduction in Salary, Demotion, or Termination
4. Define Disciplinary Standard – Disciplinary decisions must be reasonable.
5. Define Disciplinary Authority. The authority to impose discipline is defined and delegated, as follows:
  - a. The 1<sup>st</sup> Line Supervisor exercises authority to counsel employees or issue letters of instruction or written warnings.
  - b. The 2<sup>nd</sup> Line Supervisor (if such a level exists in the organizational structure below the level of department head or director) exercises authority to suspend without pay or recommend reduction in salary, demotion, or termination.
  - c. The Department Head or Director, with the concurrence of the Director of Staff Development & Employee Relations as to policy compliance, is exercises authority to reduce salary, demote, or terminate (with alternative provisions, as necessary, for various organizational relationships).
6. Create pre-disciplinary conference to give prior notice to an employee for a suspension without pay, reduction in salary, or demotion in grade – and provide employee an opportunity to respond before final decision is imposed.
7. Adopt & publish guidelines for pre-termination conferences. Provide written notice to employee at time of termination, if an employee is placed on the No Rehire list.

## Proposed Re-statement of Staff Disciplinary Policy

Policy: PER-5.01  
Title: Staff Disciplinary Policy  
Approval Authority: Executive Vice President & University Provost  
Administrative Authority: Vice President for Human Resources  
Responsible Office: Staff Development & Employee Relations  
Last Revised: Feb 3, 1993  
Effective: [Target Effective Date: August 1, 2011]

### I. POLICY

It is the policy of the University of Louisville to promote a culture where staff employees and supervisors may engage in constructive conversations regarding job performance or work-related conduct with a shared objective of improving unsatisfactory job performance or correcting unacceptable work-related behaviors.

- A. **Grounds for Discipline.** Effective performance consists of meeting job performance expectations, while maintaining appropriate work-related behaviors. Consequently, discipline may be imposed whenever job performance or personal conduct issues need improvement.
1. Job performance is generally understood to include issues related to the quantity or quality of work produced.
  2. Personal conduct is generally understood to include work-related behaviors that are disruptive to the work environment or adverse to the University's interests.
- B. **Progressive Discipline.** The University is committed to providing progressive discipline, when a reasonable person would expect progressive discipline and an opportunity to demonstrate improvement.

The goal of progressive discipline is to promote improved job performance or to correct unacceptable personal conduct. Progressive discipline consists of a clarification of performance or personal conduct expectations by management; followed by three distinct opportunities for an employee to demonstrate improvement, prior to termination for cause.

However, the University reserves the discretion to impose immediate (non-progressive) discipline, as it deems appropriate, for job performance that has a material adverse impact on the department or for unacceptable personal conduct that is disruptive to the work environment or adverse to the University's interests. [See examples of progressive and non-progressive discipline at Section II.F.]

1. **Clarification of Expectations**, followed by 1<sup>st</sup> opportunity to improve.
    - a. Oral clarification of expectations.
    - b. Letter of instruction.
    - c. Performance improvement plan.
    - d. Attendance improvement plan.
  2. **Written Warning**, followed by 2<sup>nd</sup> opportunity to improve.
  3. **Final Written Warning** or **Suspension without Pay**, followed by 3<sup>rd</sup> opportunity to improve.
  4. **Termination for Cause**, if progressive discipline has not brought about satisfactory job performance or acceptable work-related behavior, subject to a pre-termination conference (as provided at Section II.D.).
- C. **Disciplinary Standard.** The standard for management decision making with respect to imposing discipline or corrective action shall be that such decisions are reasonable – that management engaged in an appropriate fact-finding process (relevant to the circumstances) prior to making a disciplinary decision and that the decision to impose discipline is reasonable (given the facts known to the manager at the time the decision is rendered).
- D. **Disciplinary Authority.** The authority to impose discipline is exercised by the employee's department head or director, provided such individual serves at least two levels removed from the employee, else the next higher level in the chain of command above the level of department head or director; else the employee's Executive Vice President (regardless whether the EVP is two levels removed from the employee).

## II. PROCEDURES

### A. Disciplinary Actions.

1. Disciplinary actions may take the form of (1) a written warning, (2) final written warning or suspension without pay, or (3) reduction in salary, demotion in grade, or termination.
2. The specific action taken will depend on the nature of the offense, the circumstances surrounding the offense, and the employee's previous record. In all instances, both for job performance and personal conduct, the University reserves the right to take such action as it deems appropriate, as determined by the employee's disciplinary authority.
3. Placing an employee on administrative leave with pay or requiring an employee to use his or her paid leave for any reason does not constitute a disciplinary action.

4. Issuing a letter of instruction, a performance improvement plan, or attendance improvement plan (which serves to clarify performance expectations) does not constitute a disciplinary action.

**Note Regarding Grievances & Appeals.** Oral clarification of expectations, letters of instruction, performance improvement plans, and attendance improvement plans are not disciplinary actions and are not subject to grievance or appeal. Written warnings and suspensions without pay are subject to internal review in accordance with the Staff Grievance Policy (PER 5.03). Reductions in salary, demotions in grade, and terminations are subject to external review in accordance with the Staff Appeal Policy (PER 5.04).

**B. Delegation of Authority & Approval Required.**

1. An employee's 1<sup>st</sup> line supervisor exercises delegated authority to issue written warnings or place an employee on administrative leave with pay (pending an investigation of alleged wrong doing), without prior approval.
2. Prior approval of the employee's 2<sup>nd</sup> line supervisor shall be required to suspend an employee without pay or to recommend a reduction in salary, demotion in grade, or termination for cause.
3. Prior approval of the employee's disciplinary authority (as defined in Section I.D.), with the concurrence of the Director of Staff Development and Employee Relations as to policy compliance, shall be required for a reduction in salary, demotion in grade, or termination for cause.

**C. Issuance and Effective Duration of Disciplinary Actions.**

1. Disciplinary action shall customarily be taken within 15 workdays following the date on which the last alleged infraction that led to the disciplinary action was discovered by the university, unless the university determines that further investigation or review is required to determine an appropriate course of action, provided notice of such investigation or review is conveyed to the employee within the initial 15 workdays. If the university determines that such an investigation or review is necessary, disciplinary action shall customarily be taken within 15 workdays following the completion of the investigation or review. Initiating a disciplinary action beyond the customary 15 workdays requires the prior approval of the Director of Staff Development & Employee Relations.
2. A written warning shall be of no further effect 12 months after the date of the warning, provided that no additional written warning or other disciplinary action was issued for the employee for any reason during that 12-month period.

3. A suspension without pay shall be of no further effect after three years, provided that no additional disciplinary action was issued for the employee for the same reason during the three year period.
4. A reduction in salary or demotion in grade is a permanent change in the employee's status, as of its effective date.
5. Copies of all written disciplinary actions shall be conveyed to Human Resources and made a part of the employee's official personnel record.

**D. Pre-Disciplinary Conference for Suspension without Pay, Demotion, or Reduction in Salary.**

1. Prior to imposing a suspension without pay, a demotion, or a reduction in salary as a disciplinary action, the supervisor recommending such discipline will conduct a pre-disciplinary conference with the employee.
2. The supervisor or manager will summarize the reasons he or she is recommending discipline.
3. The employee will be afforded an opportunity to offer a statement in mitigation or extenuation or requesting reconsideration.
4. The pre-disciplinary conference will be documented in the written disciplinary recommendation conveyed to the disciplinary authority, prior to a final disciplinary decision being made and will be incorporated in the notice of disciplinary action forwarded to Human Resources.

**E. Pre-Termination Conference.**

Prior to termination of a regular status staff employee, an Employee Relations staff member in Human Resources will conduct a pre-termination conference. Prior notice of a pre-termination conference must be conveyed to the employee at least one work day in advance. The pre-termination conference shall include the following elements:

1. Supervisory or management statement summarizing reasons for termination.
2. Employee statement in mitigation or extenuation or requesting reconsideration.
3. Reconsideration or affirmation of termination decision by disciplinary authority.
4. Return to work or termination instructions, as applicable.

An employee may be advised by the Staff Grievance Officer preparatory to a pre-termination conference. The employee may be accompanied by the Staff

Grievance Officer or another person of the employee's choosing to serve as a personal advisor during the pre-termination conference. The role of a personal advisor shall be to advise the employee and not to participate in the conference or to advocate on the employee's behalf.

**F. No Re-hire List.**

Employees who are terminated for cause under the provisions of this policy may be determined to be ineligible for rehire; provided that the employee receives notice of being determined ineligible for rehire at the time of termination and has the opportunity to respond.

Examples of terminations that could result in a terminated employee being determined to be ineligible for rehire include, but are not limited to: (1) multiple terminations for unsatisfactory job performance or unacceptable personal conduct (including resignations in lieu of termination) or (2) any termination for personal conduct that includes personal dishonesty, falsification, misappropriation of funds, theft, possession or sale of a controlled substance on university premises, violent conduct, harassment, or any other act or omission that in the university's judgment would reasonably preclude re-employment. Employee Relations staff in Human Resources maintain No Rehire lists.

**G. Application of Progressive and Immediate Discipline.**

Progressive and immediate discipline for both job performance and personal conduct include (but are not limited to) the examples outlined in the charts which follow and are offered for illustrative purposes only. As noted in Section II.A., the specific action taken will depend on the nature of the offense, the circumstances surrounding the offense, and the employee's previous record. In all instances, both for job performance and personal conduct, the University reserves the right to take such action as it deems appropriate, as determined by the employee's disciplinary authority.

Examples where Progressive Discipline Is Appropriate for Job Performance	Examples where Immediate Discipline May be Imposed for Job Performance
<b>I. Job Performance (Progressive)</b>	<b>II. Job Performance (Immediate)</b>
I.A. Unsatisfactory job performance (related either to quality or quantity of work).	II.A. Refusal to perform reasonably assigned work task (insubordination).
I.B. Negligence resulting in incidental loss of productivity or property, but no injury to other persons.	II.B. Gross negligence resulting in material loss of productivity or property or injury to other persons.
I.C. Failure to follow university policies & procedures, including college, school, division, or departmental guidelines or work rules.	II.C. Willful disregard of university policies & procedures, including college, school, division, or departmental guidelines or work rules.

Examples where Progressive Discipline Is Appropriate for Personal Conduct	Examples where Immediate Discipline May be Imposed for Personal Conduct
<b>III. Personal Conduct (Progressive)</b>	<b>IV. Personal Conduct (Immediate)</b>
III.A. Time and attendance problems; excessive absences or tardiness.	IV.A. Walking off the job during an assigned shift.
III.B. Failure to safeguard university property or funds, including failure to make timely disposition or report of loss, with limited adverse impact to the University.	IV.B. Failure to safeguard university property or funds, including failure to make timely disposition or report of loss, with significant adverse impact to the University.
III.C. Inappropriate or unauthorized use of university property or resources.	IV.C. Use of university property or resources for personal gain or political advocacy.
III.D. Misuse of information technology resources, including excessive personal use (even if during own time).	IV.D. Intentional disruption of university computer systems, unauthorized alteration, disclosure, or destruction of university computer systems or material, improper access to university computer files and systems. Any pornographic use.
III.E. Presence at work under the influence of drugs or alcohol, with no loss of property or threat to the safety of others. Valid for first offense only.	IV.E. Presence at work under the influence of drugs or alcohol that results in loss of property or threat to the safety of others. Any multiple offense under the influence at work. Any possession, sale, or use of controlled substances at work.
III.F. Discourteous treatment of other employees, students, or the public	IV.F. Hostile, offensive, or intimidating behavior of any kind. Harassment of any kind.
III.G. Negligence in filing complete and accurate records of hours worked and leave taken.	IV.G. Personal dishonesty of any kind, including knowingly furnishing false, misleading, or incomplete information or reports to the university.
III.H. Unauthorized (but unintentional) release of confidential information. Failure to safeguard confidential information.	IV.H. Intentional release or any personal use of confidential information in an employee's custody because of his/her job.
	IV.I. Theft of university property, embezzlement, or intentional misuse of procurement cards, regardless of amount.
	IV.J. Personal conduct of any kind that is disruptive to the work environment or which is adverse to the interests of the University.
	IV.K. Violation of local, state, or federal law.
	IV.L. Intentional acts or failures to act in the workplace or in the scope of employment that contribute to the harm of or the unacceptable risk of harm to individuals or property.
	IV.M. Any other act or omission that in the university's judgment threatens the well-being of the university or any of its employees, its students, or the public.