



**Responsible Department:** Human Resources & Inclusive Community

**Recommended By:** Vice Chancellor for Human Resources

**Approved By:** Chancellor

**Policy Number**  
HRIC 3.10.061

**Effective Date**  
11/22/2023

**I. INTRODUCTION**

- A. The goal of the Corrective Action policy is to establish a consistent process for resolving and correcting issues related to an employee’s conduct, job performance, and/or compliance with University policies. While University policy does not require the University to take corrective action in any formal steps or order, the corrective action process typically follows a series of steps that increase in consequence up to termination of employment unless and until the Employee corrects their behavior, job performance, or overall conduct.
- B. The University may terminate the employment of any employee who is at-will for convenience at any time or the University may dismiss the employee immediately for cause in accordance with University procedures.
- C. This Policy does not apply to faculty employees. This Policy does apply to all University staff employees other than staff employees covered by a collective bargaining agreement.

**II. POLICY OVERVIEW**

- A. The University supports a process of Corrective Action to:
  - 1. address employee work performance and conduct issues including non-compliance with University policies and procedures, while reserving the ability to immediately terminate in instances of serious harm or misconduct; and
  - 2. provide supervisors with a consistent and fair process for handling disciplinary issues.
- B. The purpose of Corrective Action is to help employees correct their work performance and/or conduct issue(s) and become successful and productive.
- C. Corrective Action may involve one or more disciplinary steps, each with increasing consequences for failure to take corrective action up to and including termination

of employment.

- D. The University does not require that Corrective Action steps be taken in any particular order.
- E. The steps involved in the Corrective Action process may include:
  - 1. verbal counseling,
  - 2. written warning,
  - 3. final written warning, and/or
  - 4. termination.

Any disciplinary step may be omitted depending upon the severity of the incident or other relevant circumstances.

- F. Many situations may be resolved through verbal counseling with the employee; however, some issues may be severe enough to merit a formal written warning, final written warning, or termination.
- G. If the issues raised warrant a detailed performance plan, Corrective Action at the written warning and final written warning steps of the process may take the form of a “performance improvement plan” (PIP).
- H. The seriousness of the offense and the employee's disciplinary and performance history will be considered when determining the level of discipline to be applied.
- I. Supervisors must consult with their [HR Partner](#) prior to taking any of formal steps identified in subparagraphs 2-4 above. The HR Partner will work with the supervisor to address the performance concerns, review prior communications that have taken place with the employee related to performance expectations, and remedies that have been implemented to date in an attempt to resolve the issue.
- J. Corrective Action must be implemented in accordance with state and federal equal employment opportunity (EEO) laws which require fairness and consistency; prohibit discrimination on the basis of race, color, national origin, religion, age, sex or disability; prohibit retaliation; and prohibit wrongful discharge from employment.

### **III. PROCESS OVERVIEW**

#### **A. Verbal Counseling**

The Employee's supervisor may conduct a verbal counseling discussion when an employee's performance, conduct or attendance fails to meet specified

requirements. During the discussion, the supervisor will identify the performance issue(s) and will inform the Employee of the consequences if the Employee does not address and improve the performance issue(s). The supervisor will then complete a counseling document for their records and follow up with an email to the employee summarizing the expectations.

#### **B. Written Warning**

In the event of repeated, continuing, or serious issues with either an Employee's conduct or performance, the Employee's supervisor will meet with the Employee to conduct a more formal discussion. The goal of this discussion is to develop an action plan for immediate, significant, and sustained improvement and to clearly communicate the consequences if the Employee does not address and improve the performance issue(s). The supervisor will then complete a written warning document with the support of their HR Partner and present the document to the Employee.

#### **C. Final Written Warning**

Should the Employee's performance and/or conduct continue to fail to meet expectations, the supervisor will issue the Employee a final written warning before terminating the Employee's employment. The Employee's supervisor, with the support of their HR Partner, will complete a final written warning document and present the document to the Employee.

#### **D. Termination**

1. If an Employee fails to improve or correct an ongoing job performance, attendance, or conduct issue(s) after the supervisor has counseled and/or issued warnings to the Employee consistent with this Policy, the supervisor may proceed with steps to terminate the Employee's. Prior to terminating the employment of any Employee, the supervisor must first consult with their HR Partner and their Dean or Unit Leader to determine that the termination decision is adequately supported. A supervisor is not permitted to proceed with termination unless an HRIC Partner or their supervisor has approved the termination.
2. Depending on the severity of the situation or if the circumstances warrant (such as theft, intoxication, criminal behavior, dishonesty, sexual harassment, serious safety violations), the University may terminate an Employee's employment without the Employee having received any prior written warning or verbal counseling. Even in these circumstances, the Supervisor must seek and obtain approval from HRIC and unit leadership prior to proceeding with termination.

#### **E. Performance Improvement Plan**

1. If the issues raised regarding an Employee’s performance support implementing a detailed performance plan, the University may take corrective action at any level of this process by issuing the Employee a performance improvement plan (PIP). A PIP must contain specific goals and a specific deadline for meeting each of the goals that is no later than ninety (90) days from the issuance of the PIP. If the Employee has not met the stated goal(s) as of the applicable deadline(s), the supervisor will escalate the performance concern to the next level of the corrective action process.
  
2. The University expects the Employee to make continuing progress against these goals during the term of the PIP. If the Employee does not continue to make progress relative to the goals, the supervisor may proceed to the next stage of the corrective action process prior to the deadline stated in the PIP.

**IV. DEFINITIONS**

- A. **“Corrective Action”** means a process or method that attempts to address and correct an employee’s work performance or inappropriate workplace behavior by providing clear and constructive feedback through a series of increasingly formal steps.

**V. RESOURCES**

- A. University Policy HRIC 3.10.060 – *Grievance*
  
- B. University Policy EOIX 3.10.010 - *Discrimination and Harassment*
  
- C. University Policy FINA 3.20.070 - *Code of Business Conduct*

Revision Effective Date	Purpose