UPP 4-11: Corrective Action
University Policies & Procedures

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Replaces: UPP 4-11 issued 2/09/04

Key Terms: work performance issues; misconduct; violations; termination;

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WHY DO WE HAVE THIS POLICY:
Marquette University’s corrective action program exists to fulfill our mission and vision by providing fair and impartial treatment in governing non-faculty (faculty are covered by the Faculty Handbook) employee conduct. Most performance deficiencies and procedural infractions are addressed through a systematic and progressive series of interventions. In cases where there has been a more serious breach of employee conduct an accelerated level of corrective action may be taken.

WHAT IS THE POLICY:

It is the policy of the university to administer corrective action, for just cause, to employees whose work performance, behavior, or violation of rules of conduct warrant it. Typically, minor first offenses should be addressed informally with an oral warning. Serious or more frequent violations warrant more formal corrective action, up to and including termination. Levels of corrective action include:

1. First Written Warning
2. Second Written Warning
3. Final Written Warning
4. Termination
HOW DO I IMPLEMENT THIS POLICY:

Corrective action is administered in progressive steps except in cases of serious infractions or misconduct where management elects to accelerate the steps of corrective action administered to the employee. Corrective action will be based on a number of factors including, but not limited to: the work record of the employee, previous occurrences of similar incidents, previous corrective action taken, the severity of the incident and the likelihood that changed/corrected behavior would result from the action taken. Deficiencies and infractions include, but are not limited to: unsatisfactory work performance, inappropriate work conduct, rule or policy violations or attendance infractions.

Corrective action, particularly final written warning and termination, is coordinated with the Department of Human Resources. Copies of all documentation should be forwarded to the Department of Human Resources to be placed in the employee’s personnel file.

Warning Process:

I. First written warning – The supervisor meets with the employee and discusses the issue that must be corrected, using the corrective action form as documentation. The purpose is to discuss the problem with the employee, to establish an understanding as to why the problem exists, and to determine what improvement will be made. Reference to previous related oral warnings should be discussed, if applicable. The written warning should include specific expectations for improvement and a specific timeframe for meeting these expectations. Failure to correct the deficiencies/infractions, or additional violations, will result in further corrective action, up to and including termination.

II. Second written warning - The supervisor meets with the employee and discusses the issue that must be corrected, using the corrective action form as documentation. The purpose of the second written warning is fundamentally the same as the first. The discussion should explore the reasons for lack of improvement, determine whether further assistance and guidance from the supervisor is needed, and reemphasize the performance expectations. The corrective action form should include examples that exhibit a continued lack of improvement, specific expectations for improvement, and a plan of action from the supervisor. Failure to correct the deficiencies/infractions, or additional violations, will result in further corrective action, up to and including termination.

III. Final written warning – After review and consultation with the Department of Human Resources, the supervisor meets and discusses with the employee the issues cited in the other warnings, using the corrective action form as documentation. The final written warning meeting is a sincere effort to offer the employee a final chance to alter the unacceptable behavior or performance pattern that has continued and has not been corrected. This warning, again, should include specific expectations for improvement and a specific timeframe for meeting these expectations. Failure to correct the deficiencies/infractions, or additional violations, will result in further corrective action, up to and including termination.

IV. Termination – When it has been determined that improvement has not been forthcoming it may be necessary to terminate the employee. Discharges must be reviewed and approved by the Department of Human Resources. After appropriate review of the situation, the employee will be notified and provided with written documentation.
Serious or more frequent violations warrant more formal correction action or other discipline such as suspension without pay, up to and including termination. If a serious offense has occurred, and immediate action must be taken, the supervisor should contact the Department of Human Resources immediately to discuss the appropriate course of action. If a thorough investigation is warranted prior to a final decision of termination, Human Resources, in conjunction with the supervisor, will collaborate to make this determination. If the employee is required to leave the premises, they will remain in a suspended status pending the outcome of the investigation. If such investigation finds the employee was not at fault, pay for any lost time will be provided.

The management of the university, in its sole judgment, reserves the right to take whatever action deemed necessary to address cases it perceives to be of a serious nature.

Nothing in this corrective action policy negates employment at will or an employee’s at will status.

**ADDITIONAL RESOURCES AND FORMS:**

http://www.marquette.edu/hr/documents/EmployeeHandbookjun_2010.pdf
http://www.marquette.edu/hr/EmployeeAssistancePrograms.shtml