

Discipline (Mentoring) Guidelines

– Hire to Retire –

INTENT

In an employment setting, the primary intent of disciplinary (mentoring) action (short of termination) should be to provide an individual with every reasonable opportunity to succeed, if (s)he so chooses. Discipline (mentoring) should be designed to correct behavior determined to be inappropriate, unacceptable and/or illegal. Generally, long-term behavioral correction is most successfully achieved by using the lowest level of intervention possible to achieve the greatest amount of desired change (i.e., both external AND internal).

Determining the appropriate level of disciplinary (mentoring) intervention is often subjective. However, with experience and through consultation with designated organizational resources, an appropriate disciplinary (mentoring) intervention may be tailored to the unique character of the person and the mitigating circumstances. Occasionally, several disciplinary (mentoring) interventions may be needed before the desired improvement is achieved and sustained.

DOCUMENTATION / INVESTIGATION

When investigating and disciplining (mentoring), “Document...Document...Document”:

1. **DO** base disciplinary action (mentoring) on verifiable facts (e.g., specific behaviors, actions and statements, with dates, times, places, people involved, those affected and how, etc.)
2. **DON'T** base your approach to disciplinary action (mentoring) on others' biased opinions, assumptions, passions, or personal conclusions/preferences. Instead, you should substantiate disciplinary action (mentoring) interventions on concrete, verifiable evidence (refer to #1).

PROGRESSIVE DISCIPLINE (MENTORING) INTERVENTIONS*

There are several levels of progressive intervention. (Refer to the University's Progressive Discipline policy and other related policies and procedures.) Each intervention should include clearly defined consequences in the event there is a failure to meet or exceed expectations. In addition, the “**Sword of Damocles**” principle (negotiate one's own future consequences for lessor consequences this time) may also be used, when appropriate, during any of these intervention:

Verbal Warning(s):

- a. primary documentation (follow-up email to the employee/faculty member summarizing discussion, concerns, expectations, agreements, consequences, etc.)
- b. secondary documentation (notes to the file only: include names, date, time, discussion, concerns, expectations, agreements, consequences, etc.)
2. Written Warning(s) – see p. 3
 - a. follow all relevant policy(s)/procedure(s)
 - b. concrete, verifiable facts vs. assumptions and arbitrary or capricious conclusions
3. Probation
 - a. date specific (be prepared to explain why not shorter or longer)
4. Suspension
 - a. with pay; without pay (caution)
 - b. clearly defined conditions of suspension (e.g., submit issues needing attention while away on suspension; do not come into work but be available to answer questions; etc.)
5. Termination
 - a. immediate
 - b. end of pay period (admin/staff); non-renewal of contract (faculty)
 - c. dismissal by Agreement
 - i. target termination date [work; NO work period (with or without pay); combination]
 - ii. severance with pay (NO work; available to respond to critical needs or questions)
 - iii. outplacement (employer funded for a specified period of time or first employment)

***NOTE:** use the lowest level of disciplinary intervention possible to achieve the greatest, sustained improvement.



Human Resources Incident Report

EmployeeRelations@byuh.edu

EMPLOYEE: _____ ID Number: _____
DEPARTMENT: _____ POSITION: _____
SUPERVISOR: _____

Administrative Staff Student Employee Other:

TYPE OF ACTION:

Corrective action should take into consider the circumstances of the incident and the employee's record. Corrective action ranges from verbal warning to immediate termination/resignation. Progressive corrective action is NOT required. Employee Relations (EmployeeRelations@byuh.edu) should be consulted *before* proceeding with corrective action:

- Verbal Warning (original-dept.; copy-employee) *
- Written Warning
- Final Written Warning
- Suspension: Begins: _____ Ends: _____
- Termination/Resignation: Effective: _____
- Other

* If future disciplinary action is taken, a copy of the Verbal Warning is sent to HR to put in the employee's personnel file.

Date of Incident: _____ Time of Incident: _____

Description of the Incident:

Supporting Evidence, if any (please describe or attach related documentation):

Corrective Action Plan:

Employee's Comments: the employee is invited to submit a written response on or before – **Date:**

Follow up: Two weeks One month Three months Six months

I acknowledge receipt of a copy of this Human Resources Incident Report and it has been discussed with me. I understand that my signature does not necessarily indicate agreement and that refusal to sign will not invalidate the corrective action prescribed. I also understand that I may submit a written response.

Employee Signature

Date

Manager/Supervisor Signature

Date

A copy of this Human Resources Incident Report and any attachment(s) should be kept in the Department. Send original(s) to Human Resources (HR). For assistance, contact HR at ext. 5-4582 or by email: EmployeeRelations@byuh.edu