



Policy 10.1	Disciplinary Guidelines		
<u>Effective Date:</u> 9/14/10	<u>Applicable Law/Statute:</u> None	<u>Source Doc/Dept.:</u> None/HR	<u>Authorizing I.C. Sec.:</u> None
<u>Last Amended Date:</u> 2/28/12, 3/25/14			

DISCIPLINARY GUIDELINES

10.1

POLICY

It is the policy of DuPage County to allow for a progressive disciplinary process that promotes consistent application of disciplinary guidelines to all employees.

ELIGIBILITY

- All employees under County Board Jurisdiction regardless of employment status.
- A.** Any conduct that interferes with or adversely affects employment shall be grounds for disciplinary action. This may include, but is not limited to, any conduct observed by a supervisor, co-worker, member of the public, resident of facilities, building video surveillance, internet/email activity, cell phone/telephone usage, etc.
- B.** The Human Resources Representative and Supervisor should review the following questions prior to taking disciplinary action:
 1. What happened? Collect all the facts accurately and be specific. When documenting the incident, avoid personal interpretation or editorials of the situation.
 2. Does the incident require investigation? If so, has the incident been investigated thoroughly? Are there witnesses? Did they submit written statements concerning the incident?
 3. Did the employee clearly understand the rule or policy violated? Has the County rule been properly communicated to the employee?
 4. Did the employee know, or should have known in advance, that such conduct would be subject to discipline?
 5. Has the employee been given the full opportunity to speak about their conduct and provided a written statement or other evidence?

- C. All formal disciplinary action against an employee requires prior approval of the Department Head and the Director of Human Resources, or designee, to ensure consistency of action.
- D. Progressive disciplinary procedures may be bypassed and immediate termination can be followed when dealing with temporary or probationary employees at the discretion of the Department Head and the Director of Human Resources.
- E. The disciplinary categories may or may not be used in sequential order. Certain conduct may warrant an immediate written reprimand, suspension or termination.

PROCEDURES

1. Supervisors shall contact their Human Resources Representative as soon as possible when an employee is displaying unsatisfactory behavior or performance issues.
2. The Human Resources Representative and the Supervisor shall review the Supervisor's documentation of the incident or issue before recommending appropriate disciplinary action. In addition, the employee will be given the opportunity to explain what may have caused their unsatisfactory behavior or performance.
3. Depending upon the seriousness of the situation, the Human Resources Representative will assist the Supervisor in completing either a *Personnel Action Report* (PAR) or other type of documentation to the employee regarding the incident.
4. The employee can expect a Supervisor to discuss the following when an employee is displaying unsatisfactory behavior or performance:
 - a. Specific conduct or unsatisfactory performance
 - b. Policy or procedure that has been violated
 - c. Timeframe in which improvement must occur
 - d. Subsequent action to be determined if employee's performance does not meet expectation
5. For all disciplinary action taken, the Supervisor and employee will sign the written memo or PAR. Both the supervisor and employee will receive, and should retain, a copy of this documentation. The original will be placed in the employee's personnel file.
6. If the employee is already in disciplinary action and has not demonstrated satisfactory improvement, or should another violation occur, the supervisor and Human Resources Representative, upon approval of the Department Head and Director of Human Resources, will proceed with further appropriate disciplinary action, not to exclude termination.

7. In most cases (i.e. cases that do not warrant immediate written reprimand, suspension or termination), formal disciplinary action will proceed in the following manner:

Category I: Verbal Reprimand or Written Expectation

- a. The Supervisor, in consultation with the Human Resources Representative, upon approval of the Department Head and Director of Human Resources, shall meet with the employee in a private setting to discuss the issue that needs improvement. The Supervisor should make clear to the employee that the issue is serious, and ask the employee to suggest appropriate corrective action to resolve the situation.
- b. The Supervisor and the employee shall agree upon a reasonable time frame for improvement, with the understanding that failure to resolve the problem in the specified time frame may result in further disciplinary action, not to exclude termination. If agreement is not reached regarding what a reasonable time frame may be, the supervisor shall determine the time frame.
- c. The Supervisor and employee should both sign the PAR (Verbal Reprimand) or the follow-up memo (Written Expectation). Both the supervisor and employee will receive, and should retain a copy of the signed PAR. The original document will be placed in the employee's personnel file.
- d. If future conduct or performance is not satisfactory, or should a more severe violation occur, the supervisor and the Human Resources Representative, upon approval of the Department Head and Director of Human Resources, shall proceed with further appropriate disciplinary action, not to exclude termination.

Category II: Written Reprimand

- a. If the employee continues to have difficulties in the same area(s) or if the violation is more severe, the employee may receive a written reprimand. The Supervisor and the Human Resources Representative will prepare a PAR (written reprimand) and, upon approval of the Department Head and the Director of Human Resources, will schedule a private meeting with the employee to discuss the issue(s) in question and mutually agree upon corrective action. If agreement is not reached regarding corrective action, the Supervisor and Human Resources Representative shall determine a corrective action.
- b. Upon completion of the meeting, a date will be set to follow up on the employee's performance/behavior.
- c. The Supervisor and employee should both sign the PAR (Written Reprimand). Both the supervisor and employee will receive, and should retain a copy of the signed PAR. The original document will be placed in the employee's personnel file.
- d. If future conduct or performance is not satisfactory or should a more severe violation occur, the supervisor and the Human Resources Representative, upon approval of

the Department Head and Director of Human Resources, shall proceed with further appropriate disciplinary action, not to exclude termination.

Category III: Suspension

- a. The Supervisor, after consultation with the Department Head and Human Resources Representative, may recommend suspending an employee. This may be a progressive step in discipline or a first step depending on the severity of the action. The Supervisor and the Human Resources Representative will prepare a PAR stating the reason for the action and the duration of the suspension.
- b. Upon approval of the Department Head and the Director of Human Resources, the Supervisor and Human Resources Representative will schedule a private meeting with the employee.
- c. The Supervisor and employee should both sign the PAR (Written Reprimand). Both the Supervisor and employee will receive, and should retain a copy of the signed PAR. The original document will be placed in the employee's personnel file.
- d. If future conduct or performance is not satisfactory or should a more severe violation occur, the Supervisor shall contact the Human Resources Representative to proceed with further appropriate disciplinary action, not to exclude termination.

Category IV: Termination

- a. In the case of a severe violation, or repeated violations, the Supervisor, with approval from the Department Head, may recommend termination of employment. A PAR (Termination) should be completed, stating the reasons for the separation.
- b. If the termination of employment is approved by the Director of Human Resources, the Supervisor and Human Resources Representative will schedule a private meeting with the employee.
- c. In cases of job abandonment, which is defined as an employee who does not report to work for three (3) days without communicating with their supervisor and/or complying with departmental call in procedures, the Human Resources Representative will send notification of separation of employment to the employee via certified mail.