



Progressive Discipline Policy

Cal Poly values the contributions of all employees and strives to provide an environment where those contributions can be acknowledged. To that end, regular and open communication between employees and supervisors is necessary to provide the necessary information and tools to ensure that each employee has the opportunity for success on the job.

Performance Expectations:

Cal Poly expects a high level of performance, professionalism, and accountability from employees. Communication between a supervisor and employee regarding performance-related issues should occur on a regular basis and a formal performance review, including a plan for employee development, should be conducted annually.

Coaching and Counseling:

Employees are encouraged to ask questions and request guidance from their supervisors whenever needed, and, through coaching, supervisors are encouraged to provide regular feedback to employees on their performance and on their continued development. When performance falls below expectations, supervisors may use a more formal counseling approach to address the performance issue. Counseling should be documented in writing and kept in the supervisor's files for future reference.

Corrective Action Process:

When coaching, counseling, and development plans fail to assist an employee in achieving the expected level of performance, or when behavior or conduct is severe enough to require immediate corrective action, this campus follows a policy of progressive discipline for employees consisting of a four-step process:

Verbal Warning:

The first level warning is an informal method of informing an employee of a relatively minor violation of campus policy or of failure to perform job duties in an acceptable manner. Such feedback could be as simple as a conversation but could also include a brief note to file to Human Resources or email documentation of the verbal conversation. Consider including the following items in your documentation of Verbal Warnings:

- The policy violation or issue giving rise to the written document.
 - For example, is this a concern regarding performance or behavioral issues, or is it an attendance-related concern.
- Specific examples of the behavior
 - Include dates and times where available. Utilize documentation from other Verbal Warnings to build this timeline.
 - Spotlight past counseling discussions or corrective action steps, if any.

Written Warning:

When performance and/or attendance problems persist or when the offense is so serious that a first level warning is not appropriate, the supervisor should consult with Human Resources or legal counsel to draft a written document to share with the employee noting the violations and dates giving rise to the supervisor's concern. A copy of this written document should be placed in their personnel file. Consider including the following items in the written document:

- The policy violation or issue giving rise to the written document.
 - For example, is this a concern regarding performance or behavioral issues, or is it an attendance-related concern.
- Specific examples of the behavior

- o Include dates and times where available.
- o Utilize documentation from Verbal Warnings to build this timeline.
- o Spotlight past counseling discussions or corrective action steps, if any.
- o Describe how the employee's behavior negatively impacts the campus.
- o How does what they're doing (or not doing) affect your campus's ability to achieve its goals/operate programming?
- o Clearly set expectations and established time frame to be achieved.
- o Include objectively ascertainable steps and tasks to indicate compliance and/or behavior changes.
- o Describe the consequences for the infraction at hand.
- o Consider discipline provided to you per policy such as a performance improvement plan, suspension with/ without pay, etc.
- o Describe consequences of failure to improve behavior.
- o Include a statement that failure to correct behavior will lead to further corrective action up to and including termination.
- o Supervisor's signature.
- o Employee's signature
- o Include the following statement: "Employee signature indicates receipt of this memorandum and does not indicate agreement to the factual statements made herein."
- o If the employee declines to sign it, this should be noted on the memo.

Termination:

Termination of employment is the final action when all other appropriate steps have failed to achieve the desired improvements. As such, ensure you speak to legal counsel and Human Resources prior to termination.

In addition to the guidelines previously stated in this document, there may be additional considerations when the termination of an employee becomes necessary.

For example:

- Consider having a management witness present and/or security personnel on standby during the termination meeting.
- Collect their campus-provided equipment or make plans to do so.